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DEPARTMENT OF COMMUNITY,
TRADE AND ECONOMIC DEVELOPMENT

Criminal Justice Grants Policy & Procedure Guide

August 2006

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Policy & Procedure Guide**

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Chapter 1 - Introduction

Purpose

The purpose of this manual is to provide recipients and sub-recipients of United States Department of Justice grants awarded by the Safe and Drug Free Communities Unit of the Department of Community, Trade and Economic Development, to comply with the requirements associated with their grants.

Applicability

This body of this manual is written as generic requirements applicable to:

- The following federal grant programs and funds:
 - Byrne Justice Assistance Grant (JAG).
 - Residential Substance Abuse Treatment (RSAT).
 - Paul Coverdell Forensic Sciences Improvement Formula Grant.
 - Project Safe Neighborhoods (PSN).
- Grant recipients and sub-recipients.
- Grant supported activities.
- Management and accountability of grant funds.
- Management and accountability of match.
- Management and accountability of program income.

The grant program appendices specify any generic provisions which are not applicable to a specific grant program.

Notice of Possible Changes

Changes in federal law/policy drive the majority of the provisions of this policy guide. As such, this guide is updated periodically to reflect those changes, and the changes are immediately effective. The key here is the effective date of changes in federal law or policy, which is binding upon all federal grant recipients and sub-recipients, regardless of inclusion in this guide.

The Safe and Drug Free Communities' staff will attempt to notify all relevant parties of changes as they are made; however, since staff cannot contact every impacted representative of each sub-recipient, it is recommended that all sub-recipients periodically check for changes and internally disseminate notice of the changes.

Grant Principles

Purpose of grant funding – The purpose of grant funding is to support local and state projects, undertaken at the recipient's initiative, to improve the operation of the criminal justice system and reduce crime and substance abuse. Individual grant programs narrow the purpose for which grant funding is intended, and for what, when and how funds may be expended.

Receipt of grant funding is not an entitlement – Funding is limited, intended for specific purposes, bounded by federal law, and both programmatic and fiscal restrictions. Additionally the Department of Community, Trade and Economic Development is obligated to select recipients by a variety of criteria and to seek the greatest overall benefit to the state. In light of these factors, previous receipt of funding is not a valid predictor of continued or future funding.

Receipt of grant funding is not without conditions and responsibilities – The grant funding provided through the Department of Community, Trade and Economic Development is public funding and must be accounted for in two ways.

- 1st – **Programmatically:** Congress has no reason to continue funding a grant program if timely, clear and meaningful information on what has been accomplished is not provided. The local recipients, the Department of Community, Trade and Economic and Development, and the United States Department of Justice must all report on what was achieved with the funds provided. Reporting and active cooperation and support of program monitoring, program assessment and evaluation are required of every agency and individual receiving grant funds.
- 2nd – **Financial Accountability:** The responsibility to account for, and ensure the best use of funding, is a shared responsibility from the United States Department of Justice to the individual actually spending the grant funds.

The balance of this manual addresses the various aspects of these two responsibilities. The manual is not intended to be an all-encompassing statement of responsibilities, but is intended to identify the information and requirements most relevant to the grant recipient.

Chapter 2 - Program Accountability and Management

Program Description

To ensure that grant funds support both the federal grant purposes and intermediate program goals, every grant applicant is required to express and describe their program/project in two ways.

1. The traditional method is to present the proposal in the following terms:

- Mission.
- Goals.
- Objectives.
- Implementing Activities.
- Performance Measures.

This format has the advantages, that are:

- It requires the applicant to think through its proposal.
- It is easily expanded to require clarification of related considerations (e.g. pre-requisite conditions/actions).
- It specifies what is to be done, and how achievement is to be measured.
- It facilitates discussion and reporting of the program.

The weakness of this format is that it does not clearly link a proposal/project to the purposes of the overall grant. This is a significant weakness as it is that missing linkage which is both the authority for awarding the funds.

The majority of federal programs require program summaries and overall program reporting in this format.

The form commonly used to present program structure is presented in [Appendix J-9](#).

2. The GMAP*¹ Logic Model is a newer method of describing a proposal, which links the proposal to the grant's purpose.

The strengths of the GMAP Logic Model are that it:

- Relates the proposal to policy goals or grant purposes.
- Facilitates overall program assessment.

The weakness of this method is that it addresses the logic chain sequentially, one activity through one purpose at a time. For more complex projects the process has to be worked multiple times and is not as easy to understand as the traditional method.

The form used to present the GMAP Logic Model is presented in [Appendix J-6](#).

*¹ Governmental Management Accountability Plan

Fidelity to Program Models/Description

The program model is normally the program description provided by the applicant in its application. Alternately, for some programs, a program model may be described in the application instructions and must be accepted by the applicant. In either event implementation of the program model is incorporated into the grant's Statement of Work.

Failure to comply with the Program Model/Statement of Work, at best, places the legitimacy of all project expenses in doubt, and makes meaningful reporting and assessment difficult. At worst, repayment of all grant funds disbursed may be required.

Change to Project Models/Statement of Work - When the situation changes, and changes in how a project's objectives are pursued makes sense, a brief rationale and description of the change should be made in writing, before the change is implemented, to the Department of Community, Trade and Economic Development*².

The majority of such requests are normally approved without delay as a better way of implementing the project. Factors in a change request which require negotiation are:

- Changing the character of reported information or an assessment plan.
- Changing the basic scope of the project (as opposed to a shift of priorities and effort between current project activities/objectives).
- Significantly modifying the operation of a competitively awarded project.
- Modifying any of the policy level objectives of a project.
- Modifying any component of a certified or nationally mandated protocol.

Note: The factors above are listed in order of increasing concern, and usually require clear demonstration that higher-level policy objectives are better served by the requested change.

On-site monitoring and project assessment will

Consequences of Deviation from the Program Model

Compliance with the program model, as defined in the application instructions, or by the applicant in the grant application, is an integral part of the grant contract (also for state agencies' Interagency Agreements).

Due to the state's obligations as fiscal agent for the funds we administer, failure to perform as contracted is a vital concern. Though many changes are quite reasonable and provide for better achievement of program objectives, a unilateral change when a specific process or outcome is incorporated into the contract is not reasonable, and may not be supported by grant funds.

*² Note: or to whatever state agency is coordinating or facilitating the program under which the individual award was approved.

The best course of action for any contractor is to request a change to the contract terms and explain why the change improves the program. If the Department of Community, Trade and Economic Development or other state agency granting the award agrees, the terms of the contract may be amended.

If a requested change is denied or not sought before the change is implemented, the state agency coordinating programs funded through the Department, must assess the impact of the deviation from the agreed upon project and act to safeguard the integrity of the program and compliance with state and federal guidelines and law. The state agency coordinating programs funded through the Department must take one or more of the following actions:

- Approve the deviation.
- Withhold reimbursement pending investigation/consideration of the situation.
- Withhold further payment.
- Require reimbursement of some or all of the grant funds expended since the deviation.
- Terminate the grant without further reimbursement.
- Report the violation to the Washington State Auditor's Office.
- Eliminate or condition the contractor agency eligibility for future grant funds.
- Report the violation to the United States Department of Justice, with or without a recommendation for debarment from future receipt of any grant funding.

Best Practices

The Department of Community, Trade and Economic Development and other organizations may identify and publish "Best Practices" which either improve the performance of programs or protect program implementers from certain risks. When notified of such practices by the Department of Community, Trade and Economic Development, or other state agency coordinating programs funded through the Department, each grant recipient must review and assess the practice for their own grant supported project.

After review, grant recipients must either implement the "Best Practice" or document why they have not done so. Such documentation should be retained in the program's records and forwarded to the Department of Community, Trade and Economic Development, or other state agency coordinating programs funded through the Department. This documentation is subject to consideration during monitoring, peer review, other project/program evaluations, and during funding eligibility and award considerations. There are three common reasons for not implementing the practice.

- The presence of equivalent practices which offer the same or greater protection or enhancement is fully acceptable.
- The cost of adopting such a change may outweigh the benefits the "Best Practice" offers.
- The practice is simply not applicable to the funded project.

Monitoring, Peer Review and Evaluation

The Department of Community, Trade and Economic Development monitors grant recipients' programs to track program implementation, identify and recommend better business practices, check contractor compliance, and to conduct training. Every grant recipient is required to support these efforts.

Monitoring and Peer Review is normally conducted on a "at risk" basis, though they may also be conducted on a random basis or simply to familiarize state program staff with a contractor or a project.

Risk factors used in the determination of who, when and how to review include:

- Elapsed time since the last such review.
- Size of the award
- Experience of program staff
- Change of key personnel
- Participation in program training (if applicable)
- Reporting and performance concerns
- Prior or continuing performance or management concerns

Other factors determine program evaluations and who is to be included in such efforts. Though every effort will be made to avoid back to back individual review and visitation as part of an overall program evaluation, such visits or inquiries may occur due to different emphases of the two focuses, individual and group/comparative.

Chapter 3 - Sound Financial Management

In addition to being responsible to U.S. Department of Justice for compliance with a number of specific fiscal and related program controls, every recipient of federal grant funds is responsible for exercising “sound financial management”.

Recognizing that many projects are not supported by certified finance staff, or that there may be considerable organization separation between finance and operational staff, this manual identifies the basic fiscal controls required. After project review of this manual and your project’s fiscal management, any questions should be raised with Department of Community, Trade and Economic Development program staff, or for more project specific technical questions to the fiscal unit supporting the project.

The minimum acceptable accounting system must: (GAAP*¹ Standard):

- Establish and maintain accounting records
- Accurately account for funds awarded, and for matching funds
- Maintain accounting and internal controls
- Ensure that any/all sub-recipients have an adequate system of accounting and internal controls that:
 - Presents and classifies costs, as required for budgetary and evaluation purposes.
 - Provides cost and property controls.
 - Provides controls to comply with general and special conditions of a grant.
 - Meets requirements for periodic reporting and summary of funds.
 - Provides financial data for measurement, planning, control and evaluation of direct and indirect costs.
 - Record and report receipt, obligation and expenditure of grant, match and base funding.

Compliance with Federal Grant Provisions - Compliance with the following grant requirements is dependent upon operation and use of an adequate fiscal accounting system. If there is any concern or uncertainty regarding any of the following grant requirements project managers should consult with their local fiscal staff and managers to clarify how the information required is reported. If the information and controls to satisfy any of the following requirements is in place the state agency issuing awards for your grant programs must be notified at once.

Separation of fiscal functions is fundamental accounting control to avoid theft and catch errors in data entry. For this grant, the individual authorization of expenditures and disbursement of funds must be exercised by different individuals.

- Insurance or bonding of fiscal and program staff who can authorize or make purchases or cash expenditures is required.
- Non-commingling of grant and other program funds – separation and identification of each receipt of funds, expenditure and obligation by fund source is required. If existing fiscal controls are not adequate for this purpose separate physical accounts are required.

*¹ Note: Generally Accepted Accounting Principles (GAAP)

- Authorized uses of grant funds, match and program income vary by grant program. Generic authorized and unauthorized uses are identified in [Appendices A through C](#). Specific grant program variations from the generic requirements are found in [Appendices E through H](#).

All authorized expenses must be incurred within the award period unless specifically requested and approved in advance.

- Cash Match is defined as funds expended and recorded on behalf of the grant project, in excess of the amount, which would have been made available for the grant supported activities in the absence of the grant.

Project managers normally maintain supplemental record of such expenditures to facilitate tracking of such expenditures by multiple agencies or collaborating departments. The key is to ensure that each such expenditure is supported by the appropriate fiscal records. Depending upon the sources of match and the quantity of supporting documents the responsible project manager may elect to obtain copies of actual receipts or may accept reports from collaborating agencies/departments on the match expended by those agencies/departments. When summarizing documentation is accepted the project manager must periodically examine the supporting backup records to ensure that all contributing parties are uniformly and correctly reporting match.

- Program income is revenue generated by grant or match supported activities, such as conference fees, partial fees for service, or forfeitures. Such income is subject to the same fiscal and programmatic controls as grant and match funds.

Program income is considered to be property of the generating grant supported activity, and must be dedicated to that activity, at least ***to the extent that the activity is supported by federal and match funding.***

For Example: A training conference costing \$12,000 generated \$1,000 in registration fees. The \$12,000 was provided by three sources, half of which were tied to the grant, therefore half of the program income must remain dedicated to the grant and are subject to its restrictions.

\$6,000 county fund	-----	\$6,000	-----	50%	
\$4,500 grant funds	-----	}-----	\$6,000	-----	50% must remain dedicated to the grant
\$1,500 matching funds	-----				

Federal regulation requires that program ***income must be expended during the award period*** of the grant funds that contributed to the generation of the income. Though program income should be expended during the expending agency's award period, as the federal award to the state is normally longer, the state agency making the individual sub-awards may be able to authorize an additional 12 months for expenditure of program income.

Program income may be ***considered as match funds*** during the period in which expended, if planned as such during the budgeting process for the period in which expended.

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If not expended during the award period in which earned, ***disposition instructions from the state agency making the individual sub-awards must be requested.*** Authority to carry the program income over into a subsequent award period or to support the generating projects after the end of the award period in which earned cannot be assumed.

- **Non-supplanting** – Reduction of state or local funds for a grant-supported activity because of the existence of grant funds is prohibited.

Grant recipients must be proactive and document their basis for calculating pre-existing resources, either in terms of FTE's of funding. Once this basis is established, documentation should be copied and inserted in initial and each subsequent award file.

The funding base must thereafter be maintained unless changed by one of two events.

1. Increases - unless temporary, and documented as such, the base funding which must be thereafter maintained is increased.
2. Decreased by an across the board funding cut. Should such a cut impact grant supported activities, the project manager must document the cut and demonstrate that it was not applied with any consideration for the presence of federal funds, and must further show the application of equivalent cuts in multiple other programs not supported by grant funds.

Both of these events require updating the base funding documentation and must be retained in the grant project's files.

Holding harmless some activities from the 'across the board' may adversely impact the validity of the across the board cut defense for reducing state/local funding. To avoid automatic negative rulings, copies of minutes and final budgets for both the prior year and the year for which the cuts are being made, must reflect discussion and prioritization of the essential functions being exempted from reduction, and must clearly reveal the intent to generally apply the cut to all but the most important exceptions. Should such documentation not be maintained there is no defense to the charge of supplanting.

- **Total budget** – Projects must be able to present their total operating budget/costs, inclusive of costs born by collaborating agencies/departments. This is required to both demonstrate compliance with the non-supplanting requirement and to demonstrate the extent to which the implementing agency(s) are committed to the grant supported project. In-kind match should be included in the budget, though clearly differentiated from cash match. Supplemental documents may be required to reflect other agency's participation.
- **Projected expenditure pattern** – As part of the application for funding the supported activity's projected expenditure pattern for grant funding (not including match or program income) is requested. This information serves combined with the actual expenditure pattern presented in the project's reimbursement requests allows tracking of the project and identification of difficulties or delays. If a significant deviation is observed the grant recipient may be asked to access their operation and revise the expenditure pattern or have release funding to another project.

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- Expenditure for services within the award period – Only obligations incurred within the award period are reimbursable. Expenses incurred before or after award period are not authorized for reimbursement unless specific authority to do so has been granted in advance by the state agency awarding individual grants.
- Rate of grant and match expenditure – Grant and match funds do not have to be spent together such that grant expenditures are always supported by the required match. Though such expenditure is normally a sound management practice, several considerations must be taken into account before such a practice is locally adopted. The considerations include:

Timely utilization of grant funds – End of award expenditure/reimbursement requests for grant funds are normally due within 10 days of the end of the award period. Collection of the information and preparation of such reports/requests normally takes more than the 10 days available. When possible operations supported by grant funds should be ended early enough to allow accurate reporting and billing of the grant funds. Variance of match funds may be corrected in subsequent reports that do not change the total of grant funds expended/requested for reimbursement.

Guaranteed match availability and expenditure – If match or pre-grant baseline (non-supplanting base) funds are available, dedicated and sufficient to fund operations through the end of the award period, there is no grant related reason not to expend grant funds in advance of the match. However, if such is not the case match funds should be spent in proportion to grant funds – ensuring that the match requirement is satisfied and repayment of unsupported grant funds is not a possibility.

- Budget adjustments (flexibility) – Contract amendment is not required when the grant recipient desires to shift 10 percent or less (cumulative) of the combined grant and match amount within existing approved categories of expense, provided the resulting program impact does not constitute a change of scope for the project. It is recommended that grant recipients making such a shift notify the state agency awarding the grant to ensure that there are no unanticipated problems.

To shift more than 10 percent (cumulative), shift funds into a zero balance category of expense, to make any shift affecting the scope of work, or to change the award's expenditure period the grant recipient must make the request in writing to the state agency making the award. All such requests should include the original budget, the requesting change(s), the resulting budget, and a brief statement why the change benefits implementation of the project. The categories of expense identified in the program application packet, or other standard expense categories is not specified should be used.

For example (simplified without match requirement):

Budget Change Request		Contract F05-55555-001	
	Original	Change	Revised
Overtime	4,000	-1,500	2,500
Travel	500	+1,000	1,500
Training	2,500	+ 500	3,000
Equipment	<u>3,000</u>	<u> </u>	<u>3,000</u>
Total	10,000	-0-	10,000

Additional personnel funds have become available through an unanticipated grant from a regional training consortium, negating our need for overtime funding during certification training. Shifting these funds to travel and training will allow completion of staff certification training during the current year, allowing the agency to pursue national certification next year (which would otherwise not have been feasible for at least an additional two years).

Requests for budget adjustment or extension should be made at least 45 days before the end of the award period to allow for both parties signature of the amended contract.

When an extension to the award period is sought without any budgetary changes, or the change request is signed by an individual authorized to obligate the grant recipient (see [Signature Authorization Form at Appendix J-10](#)) and there is state program staff deem there to be insufficient time to ensure that both parties will execute the amendment in a timely fashion, the state awarding agency may, at its discretion, execute a unilateral amendment to the award to incorporate the change request into the award.

- Time and attendance records – Every individual paid, to any extent, with federal funds must document the expenditure of time in proportion to the receipt of federal funds. For example an individual charging 45% of their salary and benefits to a federal grant must document that 45% of their time was expended in support of that grant.

Charges on the time and attendance record ***may not reflect a blanket formula allocation*** of their effort. For example at the beginning of the fiscal year the agency's budget projected the office manager at 55% local funds and 45% grant funds (one grant only); charging a blanket 45% per pay period to the grant does not reflect that individual's actual effort on behalf of the grant project and is not reimbursable.

There is no specific format required, however each individual being reimbursed with federal funds must attest that charges on their time and attendance record reflects their actual efforts.

Activity not clearly required/benefiting a specific source of funds may be attributed to any of the fund sources which may benefit from that activity. When charging such activities care must be taken that the overall distribution of such charges is reasonable in terms of the proportion of benefit for the fund sources charged.

- Document retention – All records (programmatic and fiscal) related to a grant supported activity must be maintained for a period of at least three years after whichever of the following events occurs last: the close of the grant award, end of the last audit period covering any portion of the award period, or resolution of any audit question or issue. Such documentation is subject to review by the U.S. Department of Justice, the Department of Community, Trade and Economic Development, any other state agency sub-awarding U.S. Department of Justice grant funds, the state Auditor's Office, and any entity authorized by any of those agencies.

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- Procurement standards – Standards for procurement are addressed in more depth in Appendix I. However, there are a few requirements that should be noted by every applicant/grant recipient before their first expenditure, they are:
 - State and local units of government may utilize their own procurement standards provided they have been fully documented, and systemically reviewed and approved.
 - All units of state or local government not utilizing their own approved procurement system, and all grant recipients which are not units of state or local government, must comply with the requirements of Common Rule A-102 and OMB Circular A-110.
 - The state agency making sub-awards must approve in advance all sole-source contracts up to \$100,000. The U.S. Department of Justice must approve in advance all sole-source contracts of \$100,000 or more.
 - Use of an approved procurement system does not equate to procurement authorization. Every item or service procured must be allowable, and both necessary and reasonable for the grant program.
- Property management and inventory – Program assets, whether procured with grant or matching funds, must remain dedicated to the grant supported activity for which they were procured.
 - Inventory Controls – All items meeting the federal definition of equipment, that is any item costing \$5,000 or more with an expected life of one year or more, whether acquired in part or in whole with grant or matching funds, must be subject to the following controls.
 1. Property records must be maintained which include:
 - a. Description of the property
 - b. Serial number or other identification number
 - c. Source of the property (procurement/acquisition source)
 - d. Identification of title holder
 - e. Acquisition date
 - f. Cost of the property
 - g. Identification and percentage of the items cost by fund source (individual grant awards, individual awards matching funds, other specific fund sources)
 - h. Location of the property
 - i. Use and condition of the property
 - j. Disposition data, including date, disposition method, and realized value or assessed fair market value if not sold
 2. Physical inventory and update of every item and data element identified in the “property records” above, at least every two years.
 3. A control system must exist to ensure adequate safeguards to prevent:
 - a. Loss
 - b. Damage
 - c. Theft of the property

Any loss, damage, or theft shall be investigated by the grant recipient, and the appropriate property records will be annotated with the essential information and findings.

4. Property records and inventory records are subject to monitoring and audit review, and will be maintained at the project level in addition to such other location as the grant recipient organizational policies require.
- **Disposition Procedures**
 1. Items with a fair market value of \$5,000 or less, of no further value to the grant supported activity, may be:
 - a. sold with the proceeds returned to the grant supported activity
 - b. traded in for replacement equipment dedicated to the grant supported activity
 - c. sold with the proceeds dedicated to the closest successor activity if the grant supported activity has been terminated
 - d. retained by the grant recipient for other uses
 - e. transferred to the nearest successor activity administered by an agency other than the grant recipient
 - f. otherwise disposed of in accordance with the grant recipient's established policies
 2. Items with a fair market value in excess of \$5,000, procured in whole or in part with grant or match funds, of no further value to the grant supported activity, may be:
 - a. sold, with the portion of the net proceeds equating to grant funds used in its acquisition set aside for disposition in accordance to instructions from the Department of Community, Trade and Economic Development
 - b. retained by the grant recipient, with the portion of the assessed fair market value equating to grant funds used in its acquisition set aside for disposition in accordance with instructions from the Department of Community, Trade and Economic Development

In either case the grant recipient will, within 30 days of determining an item is of no further value to the grant supported activity, provide the Department of Community, Trade and Economic Development's Safe and Drug Free Communities Unit the item's property record data (see inventory controls), its intentions and disposition action to date, and request disposition instructions.

- Cash funds are one of the most common causes of fiscal error and a leading cause for the introduction of malpractices in the workplace unless handled appropriately.

Because of the potential for abuse, and the common spread of improper conduct through the workplace once it starts, cash funds regardless of source (grant, match, or other local funds) are subject to monitoring review.

The authority and controls for a cash fund, either as petty cash, or as a confidential expense fund for narcotics investigations, must be established in writing and periodically reviewed.

Controls should include (the following requirements may be satisfied by equivalent local policy and document procedures which offer at least equivalent protection):

- The amount of the cash funds to be maintained on hand, and the total amount authorized for a fiscal year without management review should be established in policy.
- One individual should be signed for the funds, and responsible for any shortage or loss.
- Physical access to and disbursement of cash funds should be to one individual. Emergency access procedures should be established for access to back-up keys/combination held by a third party under signature access. Procedures for changing the individual signed for the cash funds should also be made in the event of the normal fund controller's prolonged absence (leave, out-of-state training, etc.). Policy for such access must also include the subsequent inventory of funds and change of the combination at the earliest practical date.
- Distribution of funds shall be made only for certain locally prescribed purposes and shall be entered signed for in a receipt book. Returned funds shall also be acknowledged through use of the receipt book. Receipts shall include the printed name and signature of the person to whom the funds are disbursed, who disbursed the funds, and the purpose of the disbursement (case number, payment of delivery fee, etc).
- A running ledger of disbursements, returns, and replenishment of the funds will be maintained sufficient to show the total disbursed since the start of the local fiscal year, total returns since the start of the local fiscal year, net disbursement (expenditure) since the start of the fiscal year, current balance of cash, cash out on receipt. In the case of confidential investigative funds each entry should also record the relevant case (and/or informant) number.
- For confidential funds, the supported case files and corresponding informant files will reflect the amount of cash funds expended, by whom, and for what (in drug purchase the including the type and quantity or drug(s) purchased).
- Reconciliation of the cash account will be made at least semi-annually by an individual without fiscal interest in the outcome of the review who is not supervised (directly or indirectly) by the individual responsible for control of the cash account. The review will include the issued amount (including replenishments), cash on hand, and receipts on hand. A copy of the reconciliation will be maintained with the cash account and another copy forwarded to the fiscal office. If discrepancies are noted a copy will be provided agency/department management.
- Losses will be investigated, and will not be written off without written approval of the agency/division management.

- Review of cash control policies by an individual trained in fiscal accountability is highly encouraged for agencies either establishing or reviewing their cash control policies. Technical assistance from CTED is available upon request. Such review should be documented and added to the projects records.
- Confidential funds (Purchase of Evidence/Purchase of Information (PEPI)) are subject to all the requirements of Cash Funds as well as the following requirements:

An individual not part of the investigative unit will conduct reconciliation of supporting confidential investigation records with the cash funds at least once a year. The reviewer will verbally announce the case/file number from the ledger and check the supporting receipts. An individual authorized to access the investigative records shall locate/open the corresponding file announced by the reviewer, and read off the date of the expenditure, expended amount, purpose of expenditure (information, or type and quantity of drug purchased) for comparison by the reviewer with ledger entries. The individual checking the case file will also announce whether any funds expended for drug purchases ‘walked’ or were recovered and logged as evidence.

Reconciliation discrepancies, including return of funds before the annotated disbursement date, shall be entered into the reconciliation report and submitted for review by the agency/department management.

Note: Every agency utilizing grant, match or program income as confidential funds must *complete the “[Confidential Fund Certificate](#)” found in Appendix J-4.*

Agencies utilizing confidential funds shall have a process in place to adjust the total of grant or match funds reported as expended such that the reported value does not include funds recovered after drug buys (and subsequently held as evidence) on the final reimbursement request of the grant period. The purpose of this adjustment is to reflect the true expenditure of the grant’s (match) expenditure, funds held as evidence will ultimately be released to the law enforcement agency for future use and as such should not be considered expenditures for purposes of grant reimbursement of match calculation.

The amount of funds recovered after drug buys and subsequently held as evidence should be reported to law enforcement management along with the total funds disbursed to purchase drugs. This practice will clarify for law enforcement management what the long term net cost of drug buys is, and how much of that cost is tied up as evidence.

- Audits – All recipients of federal grants, as a direct or sub-recipient, will comply with the audit requirements of [OMB Circular A-133](#), as further described in [OJP’s Financial Guide, chapter 19](#).

Grant recipients that expended \$500,000 or more in federal funds (all federal awards) in a fiscal year are required to have an A-133 audit. This requirement applies to the entire organization, not just to a specific project or department (e.g. Spokane County, not just Spokane County Sheriff’s Office or the regional narcotics task force).

Should a grant recipient which expend less than \$500,000 in federal funds during a fiscal year are not required as a condition of this grant to have an audit, nor are the costs of any audit conducted chargeable as a grant/match expense. However, should an audit be conducted, a copy of the audit must be made available upon request to the state agency awarding grant funds.

- Limitations on overhead and indirect charges. Overhead and indirect a mutual exclusive in that overhead may not be charged for a function included in the approved indirect rate, and vice versa.
- **Overhead**, for the purposes of this section are administrative costs which are not exclusive to the grant supported activities. Charges for such costs are valid expenses only to the extent that they are directly attributable to the grant supported activities. Examples of valid and invalid charges are:
 - Invalid Charges:
 - a. A simple assessment for accounting services to each fund managed by the fiscal unit, of \$10,000 to offset the costs of operating the fiscal unit.
 - b. Proportionately charging each fund on the basis of total funds available with each fund to offset the operation of the fiscal unit.
 - Valid Charge (Note - the assessment/cost allocation study and calculation used to justify the charge must be retained on file (grant project's records)):
 - Average monthly costs of processing monthly vouchers is \$5,000* as determined on the basis of dividing last fiscal years total expense for this function and adjusting for salary increases granted effective the first day of the current fiscal year.
 - The average number of vouchers processed by the fiscal section per month is 1400/month, 20% of which are from the Sheriff's Office. Of the Sheriff's Office vouchers 7% relate to operations of the narcotics task force inclusive of payroll for assigned officers. These numbers are an average of workload analysis for the months of February, June, and November of the last completed calendar year, adjusted for the discontinued project XXX.
 - The task force total budget is \$1,000,000, of which \$200,000 (20%) is provided by this grant.
 - Therefore a valid charge of \$140 may be assessed

$$\begin{array}{rccccccc} \$5,000* & & \times & 20\% & \times & 7\% & \times & 20\% & = & \$140 \\ \text{Total function cost} & \text{Sheriff} & \text{NTF} & \text{Grant} & \text{Valid charge} \end{array}$$

The key to the process necessary to make the above assessment valid is that the expenditure supports the grant activity, in proportion to the grant funds versus total funds supporting the grant activity.

***Limitations:**

- ¹ The total function cost may be used provided all funds' activities contributing to the total are charged. If one of more funds are to be 'held harmless' and not charged, the proportion of the total cost attributable to them must be reduced from the total before assessing the grant's equitable share of the admin function's cost, otherwise the grant is subsidizing another activity.

² Administrative charges calculated on this basis must be reported on there own line on reimbursement vouchers submitted to the awarding state agency.

³ Technical assistance from CTED is available to agencies desiring to recoup overhead from grant-supported activities.

⁴ All restrictions and conditions applied to Authorized and Unauthorized Expenses apply to Overhead charge against the grant.

- **Indirect Rates** are established as the result of cost analysis and are approved by the receiving agency's cognizant federal agency, that is normally the federal agency that directly or indirectly provides the largest cumulative share of federal funds to the receiving agency.

Such rates are unique to each agency, but normally specify which functions they are for as well as the basis of calculating the rate. For example such a rate may be for: 30% of combined salaries and benefits, for rent and space related costs, services offered by human resources, payroll and procurement. If an indirect rate is applied, no cost element specified in the indirect rate may be charged, in any form, to the grant.

For indirect charges to be valid, the indirect rate information must be specified in the grant application or other document submitted to the state awarding agency at the time of application, and approved by the state awarding agency. The information required in such a submission includes:

1. Approving cognizant federal agency
2. Date of approval
3. Approved rate
4. Basis for calculating the rate
5. Categories of expense supported by the approved rate

Chapter 4 - Administering Agency Grant Policy

- **Advance Payment** is normally not allowed, requiring both specific federal pre-approval and insurance naming the state agency naming the sub-award as the recipient in case of inappropriate expenditure.

Interest Bearing Account - When advance payment is authorized, unless the application package specifically states otherwise the funds must be deposited in a separate interest bearing account. The interest earned is considered program income, and must be expended for the same purpose as the grant funds, and is subject to the same restrictions on use. The exception on usage is that it is not subject to the line item budgeting of grant funds or match, unless it is used (counted as) match.

Reporting Expenditures – Expenditure reporting for advanced funds are handled the same as for all other funds, except that no reimbursement is to be made.

Expenditure Period – All advance funding and any program income earned must be expended with the sub-award period, or reimbursed to the state agency making the sub-award. Exceptions to this may be made depending upon the period of the award to the Department of Community, Trade and Economic Development, and whether the sub-recipient is to receive continuing funding within the same grant program.

Note: This is a change from prior federal grant provisions.

- **Requesting payment – Reimbursement of expenditures**

Frequency of requests – Sub-recipients shall request reimbursement on either a monthly basis. Sub-recipients with only small expenditures may delay reimbursement, but shall request reimbursement at least quarterly.

Timing of reimbursement requests – expenditure reports:

Initial and interim reimbursement requests are due within 15 days of the end of the billing period. Delay of these requests till the end of the month following the end of the period does not cause undue tracking problems.

Final or close-out reports are ***due within seven (7) days of the end of the award*** period. Due to state fiscal year close-out requirements, ***funds may be deobligated*** and not available for disbursement after that date. Any grant recipient foreseeing difficulty submitting by this date should contact the grant manager of the state agency making the sub-award well in advance.

Grant recipients should consider:

- Expending grant funds before other available funds to ensure timely reporting, if availability/expenditure may be relied upon to continue grant/project operations at the current of grant required level.
 - Care must be taken to ensure that sufficient match is expended and repayment of grant funds is not required.
 - A close-out expenditure report may be submitted after the seven day reimbursement window to correct the match funding reported as expended.

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- Estimating expenditures when a consistent level of operations has been demonstrated and is expected to continue through the end of the award period. A close-out expenditure report may be submitted after the seven day reimbursement window to correct minor deviation between expenditure categories. This option is preferred whenever the sub-recipient has expended significantly more match than required, or may legitimately reclassify other expenditures not so reported as match – this allows expenditures to be reclassified as grant funds and avoid repayment. Note: Sub-recipients must reflect the corrected categorization of match/grant funds even though the award period is closed.

Overhead expenses should be included in the same reimbursement request as the operational expenses they supported, or the first reimbursement request following payment of the overhead expense. Overhead charges not billed during the first three quarters of an award period are not allowable expenses (e.g. indirect may not be held in abeyance for nine months to allow operations full use of the funds, and then billed for the entire year when it is determined that operations will not utilize all of the award).

Report forms are tailored to each grant program, year of funding, and individual grant project (contract). The Department of Community Trade and Economic Development (CTED) provides the sub-recipient blank forms when returning their fully executed contract, or as part of the application package. An Excel version of each sub-recipient's reimbursement voucher is available upon request.

- ***Do Not Use a previous award's reimbursement voucher***, whether in hardcopy or in Excel. Each award's vouchers are coded reflect program, source year(s), authority, and the specific sub-recipient award – use of an voucher from a previous award will cause erroneous tracking of grant funds and/or multiple corrective actions.

Estimating expenses for reimbursement purposes are allowed under the following conditions:

- Reimbursement is requested monthly;
- Project participants cannot get their fiscal reconciliations done soon enough for the grant recipient to generate timely reports;
- The sub-recipient tracks the expenditures that are estimated, and corrects the following monthly reimbursement request, by category of expense, such that the cumulative expenditure to date is correct; and
- Special care is required if the reimbursement request being prepared/submitted is a final or close-out voucher (see "[Timing of Reimbursement Requests](#)" requests above). ***A final or close-out voucher that is estimated must be clearly marked as an "Estimate".*** Payment may be obligated based on the estimate, but will not be disbursed until the estimate is verified and a signed replacement voucher received.

Correction of prior expenditures is to be made on the first reimbursement request following detection of the error, or by a special expenditure report not requesting payment. The increase/decrease in each affected category of expense is to be applied to the current periods expenditure.

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Example: The prior report omitted \$315.28 of overtime (salary) expense
The current period's salary expense is \$1,500.00
The reimbursement request for the current period should be for \$1,815.28

Program/Activity Reporting is required on a quarterly basis for all grant recipients/sub-recipients, **unless otherwise specified in the contract.** Each agency receiving grant funds or acting as a partner in a grant-supported project should build this into their ongoing operations.

- **Activity** reports are *due even if there is no grant activity*.
- **Activity** reports are *due not later than 15 days after the end of the reporting period.*
- Delaying data collection until the end of a report period is more work than collecting data as activity takes place, and important details may not be available is sought 'after the fact'.
- Each report must clearly indicate:
 - the program,
 - the project,
 - grant recipient/sub-recipient,
 - contract number,
 - time period of the report, and
 - whether or not the report is cumulative (start of grant to date).
- Included data must support each element specified in the grant application packet published by the state agency awarding the sub-award, the grant recipient's application, and the contract or interagency agreement awarding funds to the grant recipient.
- Additional information to present data not required, which is indicative of project success is encourage, but not in lieu of the required data elements.
- Use of ***bullet phrases is acceptable.***
- Program level reports using every related project's quarterly report data is submitted to the federal source agency not later than 30 days after the end of every semi-annual calendar period.
- It is the position of the Department of Community, Trade and Economic Development that funds are awarded to grant recipients and sub-recipients to enable them to implement programs that they desire to implement; and that timely and complete reporting is not an undue burden in exchange for those funds. As failure to submit in both a complete and timely, results in rushed and/or reporting that poorly reflects upon the state's use of funds, and endangers the availability of grant funds to every other recipient that grant's funding in the state:
- ***Funds may be withheld*** from agencies not submitting timely and complete reports.
- ***Awards may be terminated*** for repeated failure to submit timely and complete reports.

Fiscal Agents as grant recipients are responsible for all matters pertaining to the application, contract, project implementation and reporting. Should the grant recipient not also be the lead agency involved in the implementation of the grant, the grant recipient must coordinate with the other participating agency(s) and firmly establish responsibilities to accomplish all requirements of the grant, and thereafter track completion of such requirements. Mere

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execution of interlocal agreements assigning internal roles and responsibilities does not transfer any responsibilities under the grant and contract from the grant recipient.

Fiscal agents as project participants must be clearly authorized as such by the grant recipient.

The grant recipient must notify the state agency awarding the grant of:

- Selection and identity of a fiscal agent,
- Roles and responsibilities assigned the fiscal agent
- Signature authorization (within the application package or as a supplement)
- To who disbursements are to be made payable to
- Where the disbursements should be sent (mailing address or bank transfer codes)

The grant recipient is still responsible for all actions of the assigned fiscal agent and should provide the fiscal agent complete copies of the project's application, grant award (contract) and any associated documents. If the fiscal agent has not previously fulfilled this role in relation to the specific grant, the grant recipient and or fiscal agent should contact the awarding state agency for training and a full review of their obligations under the grant.

Fiscal agents must be available for monitoring and audit reviews as scheduled through the grant recipient.

Contract changes/amendment may be required for three reasons. They are: change in the situation being addressed, identification of a better way to do things, revised federal guidance/requirements.

Changes should be requested as soon as the need to do so becomes apparent – requests made with less than a month remaining in the award period pose undue, though usually not impossible burdens.

Requesting change or amendment to a provision of a contract/grant must be made in writing, and signed by an individual designated by the grant recipient to do so on the "Signature Authorization Form" submitted as part of the grant application. The change may be by conventional hardcopy, or by email (emailed requests may either contain a scanned copy of a signed request, or must be submitted by an email address which is clearly that of an authorized signature).

- Contracting agency, is not an element that may be made by contract amendment
- Budget amendments, limited to a shift of funds between budget categories, but not including an increase in funding require only a statement of why the change facilitates implementation of the grant program, and a cross walk of the original budget, the requested change, and the desired final budget.

For example:

Rationale - The department requests this change as there has been a significant drop in the cost of the equipment to be procured, and shifting \$10,000 of the equipment allocation to salaries and benefits will allow another analyst to be assigned to the project. The overall affect is expected to be in the area of 30% better service than originally projected.

	<u>Original Budget</u>	<u>Proposed Change</u>	<u>Proposed Budget</u>
Salaries	18,000	+7,500	25,500
Benefits	6,000	+2,500	8,500
Goods & Services	2,100		2,100
Equipment	16,950	-10,000	6,950
Travel and Training	<u>750</u>	<u> </u>	<u>750</u>
Total	43,800	-0-	43,800

Note: The rationale does not need to be comprehensive, but must serve to convey the desires of the grant recipient and present the proposal in a manner that makes sense to the granting agency.

- Statement of work amendments must be supported by a similar rationale to that required of budget amendments. The primary limiting factor to such proposals is the impact the proposed change will have upon the original project proposal (the basis of a project's selection over another proposal). The most common cause for such a change is either addition or deletion of a significant activity, such as funding aftercare within a project that
- Extensions may also be requested, however authority to extend most awards is limited by a number of factors. Appendix A presents additional information governing state authority to extend sub-awards.

Unilateral changes may be made for most recipient requested changes, based upon the signature/definitively identifying originating email address of individuals authorized to approve changes by grant recipients. State agencies sub-awarding grant funds may also make unilateral changes when changes in federal direction or available funding requires a change in either contract terms, programs, funding levels, or timing of expenditure.

As a general rule unilateral changes will only be made for technical corrections requested by grant recipients requested during the last 45 days of a award period, or when external factors require adjustment of contract terms, programs, funding levels, or the timing of expenditures.

Unilateral changes made in accordance with this section are binding upon all affected grant recipients, with or without their consent of agreement having been previously solicited or received.

Truncation is an amendment to an award period, making it sooner than originally agreed, without a corresponding reduction in funding. Truncation may be requested by either party or unilaterally imposed by the state agency awarding grant funds to sub-recipients.

This action is seldom approved as productive use of grant funds can seldom be maintained with the disruption of the award period truncation normally entails.

Suspending payment (freezing of grant funding) may be unilaterally imposed by the state agency awarding the grant funds to an individual grant recipient, and immediately halts all processing of grant funds to the individual grant recipient.

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The most common cause for this sanction being imposed is failure to comply with reporting requirements when such compliance is essential for the state to satisfy its contractual obligations to the federal government, or to comply with provisions of either state or federal law. However, this sanction may also be imposed as an interim measure if either truncation or termination is being considered.

When non-compliance with reporting requirements is the stated cause of the freeze, compliance that is responsive enough to allow the state to meet its contractual or legal obligations will automatically result in lifting the restriction.

During a freeze, unless specifically stated otherwise, the grant recipient may provisionally continue to obligate grant funds. The provision is that the cause is resolved in a timely fashion, prior to the due date of reports to the federal government, or other announced date.

Such notice may be telephonic to any individual identified on the grant recipient's Signature Authorization Form. If the cause of the freeze is not promptly resolved, written notice will be provided with seven working days of the initial notice.

Termination is the early close of a grant award, and may be effective either immediately upon notice, or upon a specified date (usually not later than the end of the next complete month).

Termination is normally exercised only upon failure of the grant recipient to comply with the terms of a grant award, commission of an act by representatives of the grant recipient causing grave doubt about their ability to productively or legally utilize grant funds, or failure to respond to audit or monitoring findings by the required date.

Termination may be preceded by a notice that the grant recipient's funds have been frozen. In any event, from the date that grant funds are frozen or the effective date of the termination, whichever is earlier, obligation of funds by the grant recipient is no longer authorized and may not be lawfully expended by the grant recipient, nor reimbursed by the state agency which made the sub-award.

Termination is always a unilateral change to a grant award, and once effective is final.

Repayment and adjustments – Funds not expended for authorized uses within the award period must be repaid. After the end of the award period, action to correct an erroneous expenditure, other than repayment, is extremely limited. The grant recipient must immediately notify the program manager at the state agency awarding and request instructions.

Erroneous expenditure of grant funds is not the only cause requiring repayment of grant funds. There are two other causes:

- ***Failure to expend sufficient match requires not payment of the amount of match due, but repayment of the grant funds supported by the match expenditure.***

For example: A grant award of \$30,000 requires one dollar of match be expended for every dollar in grant funds. If only \$7,500 of match was expended, only three times that amount (\$7,500 x 30), \$22,500, is supported by match. Any grant funds received above the supported amount must be repaid.

- Certain grants may have specific uses and/or performance conditions attached to them. Such uses and conditions may be specified in either the grant award application package or in the budget attachment to a grant contract or interagency agreement. Failure to honor or achieve such uses/performance automatically makes expenditure of those funds unauthorized.

For example: A grant award is made for advocacy services and the statewide publication of related statistics. The project budget incorporated into the grant award's contract may set-aside \$4,000 of the total award for the quarterly publication of the programs statistics, and subsequently free any of that amount not used for such publication for other activities of the grant on condition that each publication is release within 30 days of the end of each calendar quarter. Under these terms, if the grant recipient failed to publish the program statistics, any of the \$4,000 set-aside for this purpose could be legitimately expended, and any reimbursement for those funds would have to be repaid.

Any agency discovering, or suspecting such a problem before the end of their award period should contact the program manager at the state agency awarding the funds to the grant recipient as soon as possible. State staff will attempt to identify options allowing the grant recipient to correct the situation and make appropriate, productive use of the grant funds before the end of their grant award.

Repayment must be by check, clearly identifying the grant to which the repayment applies, and made payable to the state agency awarding the funds to reimbursing agency. Any state agency sub-awarding grant funds other than the Department of Community, Trade and Economic Development (CTED), must in turn reimburse CTED.

Carryover – The balance of unexpended funds at the end of an award do not carryover the any subsequent award. Such balances are de-obligated and are added to the funds available for subsequent awards or surrendered back to the awarding federal agency.

Post-contract recipient responsibilities include:

- Reporting
- Auditing (dependent upon size of the award and the total of federal funds received)
- Return of unexpended funds received
- Disposition of program assets when no longer of use for the funded project
- Retention of files
- Cooperation in program audits

APPENDIX A – STANDARD ALLOWABLE EXPENSES

Allowable costs are limited to those costs that are reasonable and necessary to the implementation of a project, allocable to the project and consistently treated, and are authorized under this grant.

Authorized costs:

- Salaries and Overtime are authorized provided that compensation is reasonable and consistent to that paid for similar work in other activities within the state. Overtime and other differential pay for units of local government, is deemed to be approved by the Department of Community, Trade and Economic Development provided that the rates are in accordance with the policies of the jurisdiction. Overtime and other differential pay for non-governmental grant recipients is deemed to be approved by the Department of Community, Trade and Economic Development provided that they are each fully explained in the grant recipient's approved project application.
- Benefits and Position Related Allowances are authorized provided that compensation is reasonable and consistent to that paid for similar work in other activities within the state.
- Consultants/Contracts:
Consultation:
 - Consultant compensation for individual consultant services must be reasonable and consistent with that paid for similar services in the marketplace. The maximum authorized rate is \$450 per day unless prior approval is obtained in writing.
 - Consultation provided by commercial and non-profit organizations are subject to competitive bidding procedures and limited to the existing market costs for such services, not by the \$450 a day rate.
 - Consultation compensation for individuals associated with educational institutions is limited to the consultant's academic salary (annual) divided by 260.
 - Consultation compensation for individuals employed by government agencies is authorized only when the agency will not provide the consultation without payment. If payment is required it is limited to the daily salary rate of the individual. Note: if the individual is not representing the employing agency their compensation should be treated as if for a private/commercial individual.
- Contracts:
 - Contracts to perform business functions essential to the operation of the grant activity, which are not part of the statement of work or defined in the grant application, do not require prior approval. (See "[Authorized with Prior Approval](#)" for contracting implementation functions.)
 - Contracts to perform business functions essential to the operation of the grant activity, as defined in the statement of work or defined in the grant application, when the intent to contract the work (or identifies participating agencies to perform the work) has been specified in the grant application.

- Equipment - excluding automatic weapons and purchase of vehicles. (See “[Authorized with Prior Approval](#)” for vehicles”).
- Indirect Costs, allocated to the grant project in accordance with federally approved indirect rates (see “[Limitations on overhead and indirect charges](#)”).
- Lodging and PerDiem within the General Accounting Offices’ rate schedule.
- Food and beverages are authorized where each of the following conditions applies:
 - Scheduled as part of a conference, workshop or non-standard work related event.
 - Both the provision of the food/beverage and the cost is considered reasonable and necessary.
 - The food or beverage is available to all participants of the general event.
 - The food or beverage is not directly related to amusement and/or social event (any event at which alcohol is served).

General guidelines for determination of expense authorization are:

- Provide a speaker at a lunch or dinner.
- Support the event with a formal agenda.
- The event must be mandatory for all participants (not select participants only).
- Do not pay for bar charges with registration fees (program income).
- Do not make alcohol beverages available at the event.
- Provide appropriate break foods.
- Surrounding events must provide substantive information.
- Do not end the events with a meal and/or break.
- Costs must be reasonable.

Note: Exhibits do not constitute substantive information.

Note: If the food and beverages supplied constitute a meal, per diem for that meal is not authorized (exemption for specific dietary rules/requirements is accepted).

- Space/Rent costs not to exceed the cost of space in a privately owned building (market rate) is allowable, subject to the following restrictions:
 - In a privately owned building, allowable if the building is not owned by the grant recipient, or the grant recipient does not have a substantial financial interest in the building.
 - In a privately owned building which the grant recipient owns or has a substantial financial interest, the cost of ownership is allowable (see chapter 7 of Office of the Comptroller’s Financial Guide before allowing these costs).
 - In publicly-owned buildings where “rent rate” systems, or equivalent systems that adequately reflect actual costs, are employed.
 - Building maintenance and operation costs such as the cost of utilities, insurance, security, janitorial services, upkeep of grounds, and normal repairs and maintenance are allowable if not otherwise charged to the grant or the grant recipient.
- Travel within the United States, at or below reimbursable rates approved by the federal General Services Administration (GSA). (See both “[Unallowable Expenses](#)” and “[Division of Overlapping Costs](#)” if the lodging rate is above the GSA approved rate.) (See “[Authorized with Prior Approval](#)” for travel outside the United States.)

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- Training costs, inclusive of grant specific training and training required to maintain professional standards and/or certification.
- Other Costs:
 - Office supplies.
 - Project specific supplies supportive of activity defined in the Statement of Work or grant application.
 - Communications (including postage).
 - Utilities.
 - Janitorial services.
 - Normal repairs and maintenance.

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APPENDIX B – STANDARD COSTS AUTHORIZED WITH PRIOR APPROVAL

- Advertising for the supported project.
- Vehicles procurement (excluding armored vehicles) may be authorized by the Department of Community, Trade and Economic Development (CTED) if requested at the time of application. Depending upon several factors CTED may have to in turn request prior approval from the federal agency controlling the grant program.
- Contracts to implement/perform part of the effort of the grant project as defined in the statement of work or grant application require prior written approval by the state agency awarding project funds
- Renovation of facilities when necessary as part of the approved grant project, which do not constitute capital expenditures/improvements are allowable after approval by the Department of Community, Trade and Economic Development and the federal agency providing the grant funds.

For general orientation only: Capital improvement is any change which increases the useful life or market value of the space, Capital expenditure is any expense to effect a capital improvement or by virtue of exceeding a specified amount is categorized a capital expense by the standard financial operating policies governing the grant recipient.

- Automatic Data Processing (ADP) Equipment and Software. Digital, analog or hybrid computer equipment and automated fingerprint equipment, auxiliary input/output equipment, and customized or designed software under this requirement.

Note: standard desktop computers and/or laptop computers, printers and common application software are not considered to be ADP equipment or software, and are not subject to prior approval under this requirement.

- Travel outside the United States. The prior approval requirement is inclusive of mileage, airfare, per diem and lodging. For day trips only those expenses incurred outside the United States requires prior approval.
- Preagreement costs, that is costs incurred before the effective date of a grant must be pre-approved by the Department of Community, Trade and Economic Development and the federal agency providing the grant funds. Note: requests for such approval should be submitted as part of the initial grant application, such requests will be considered only when the rationale submitted demonstrates that such approval is clearly in the best interests of the grant program.
- Premium Pay, not including standard differential pay (e.g. overtime/hazardous duty) approved by the grant recipient and approved by the awarding agency.

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APPENDIX C – STANDARD UNALLOWABLE EXPENSES:

- Advertising for an agency or organization (distinction is made from advertising of a specific grant supported project/program).
- Alcoholic beverages/bar charges, except as part of an official investigation conducted in accordance with local investigative policy.
- Armored vehicles acquisition.
- Automatic weapons.
- Bonuses or commissions paid for:
 - the purpose of applying for or obtaining grant funds, or
 - to officers or board members of a for profit or non-profit organization.
- Compensation of federal employees (inclusive of travel related costs). Federal officials may be feed in conjunction with a larger meeting primarily involving non-federal employees through planned meals/snacks paid for as part for the general meeting costs. Reimbursement to a federal employee for meals in conjunction with such a meeting is not authorized.
- Construction.
- Contribution to contingency funds.
- Corporate formation.
- Direct payment to individuals for support services (e.g. daycare support for individuals called as witnesses).
- Entertainment, inclusive of sporting events.
- Fund Raising.
- Incurred outside the project period. This does not include costs incurred with the eligible award/grant period, but before the effective date of an local award if prior approval of such a charge has been approved. It does include all costs incurred before the beginning of an award period (dated from the announced beginning date, not the effective contractual date) or after the end of an award.
- Land acquisition.
- Laundry charges.
- Lobbying, inclusive of membership fees to organizations whose primary activity is lobbying.
- Lodging for conferences with 30 or more participants that are funded with grant funds, where the lodging rate is in excess of the General Accounting Offices regional lodging rate. The prohibiting condition is two fold: whether the conference itself is supported by federal funds, or whether there are 30 or more individuals attending who are supported by federal funds. In either of these two conditions **no part** of the lodging maybe paid with federal funds, match, or program income. Distribution of the lodging cost between federal and other funds to reduce the amount charged to the federal funds is not authorized.
- Military equipment/supplies. This does not include items to the general public through commercial sales.
- Payment of fines or legal penalties.
- Premium pay, where the premium is solely because it is using federal funds.
- Taxes, where the tax is imposed disproportionately upon the grant support activity. This does not include general applicable tax such as a gasoline tax or lodging tax.
- Rewards for tips resulting in arrest.
- Visa and passport fees.

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APPENDIX D –

DIVISION OF OVERLAPPING COSTS BETWEEN TWO OR MORE ACTIVITIES:

When salaries and other costs apply to two or more grant programs, cost activities, project periods, and/or overlapping periods, proration of costs to each activity must be made on the basis of time and/or effort reported.

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**APPENDIX E –
Justice Assistance Grant - Specific Information/Authorization**

Maximum project award length:	Not limited
Maximum contract length:	12 Months (limit is imposed by legislative proviso, not conditions of the federal grant)
Allowable expenses:	All standard expense categories except that noted below
Unallowable expenses:	Advertising Confidential funds

APPENDIX E – 1

Drug Interdiction Program Specific Requirements

Multi-Jurisdictional Narcotics Task Force Program

To be eligible for funding under this program units of local government must comply with the following:

1. Minimum Participation: The task force must be comprised of full-time, co-located law enforcement personnel representing a minimum of three local agencies in the service area. Two of those agencies must be the largest agencies in the service area based on the number of sworn officers. For task forces previously designated as “small urban” or “rural,” the Washington State Patrol will be considered a local agency for purposes of satisfying this requirement.
2. Minimum Model: The task force must be staffed with at least three full-time narcotics investigators, one full-time supervisor, one half-time deputy prosecuting attorney, and one half-time administrative support person. The law enforcement personnel must be co-located.
3. Performance: The task force must agree to focus its investigative efforts to deter, detect, disrupt, and/or dismantle drug trafficking organizations operating in and through its service area. In addition to any local priorities, goals and objectives must include:
 - a. A minimum of 80 percent prosecution success rate, as determined by dividing the number of defendants found guilty by the total number of all defendants prosecuted.
 - b. A minimum of 90 percent forfeiture action success rate, as determined by dividing the number of cases wherein criminally obtained proceeds and/or property were seized and forfeited by the total number of cases wherein such items were seized pursuant to forfeiture.
 - c. A minimum of 40 percent of completed investigations resulting in multiple arrests. (Replaces the previous performance requirement related to “violator levels.”)
4. Reporting: Task forces must report semi-annual performance data by the 15th of the month following the reporting period. They must also complete and submit the annual Northwest HIDTA Threat Survey in January of 2007, regardless of HIDTA designation.
5. Cooperation: The task force must agree to comply with recognized best practices in narcotics enforcement in general, and in particular those related to de-confliction of investigations and critical events. At a minimum, task forces will use the services of the Northwest HIDTA Watch Center and/or the Western States Information Network to achieve that end.
6. Governance: Governance of the task force must be set forth in a signed interlocal agreement specifying: the obligations of each participating agency, management of the task force, and the dissolution process to be followed.

Alternative Drug Interdiction Programs

Units of local government that cannot meet the requirements for funding as described above, may qualify for reduced funding, provided that any proposed alternative program meets the following criteria:

1. Minimum Participation: The drug interdiction program involves a local agency working cooperatively with at least one other local, state, and/or federal agency.
2. Performance: The program mission is to deter, detect, disrupt, and/or dismantle drug trafficking organizations operating in and through its service area. The program works toward achieving measurable goals and objectives, which must include both 3a and 3b above.
3. Reporting: (Same as above.)
4. Cooperation: (Same as above.)

Forfeiture Restrictions - Federal (also see 'Program Income', page 8)

1. The federal share of forfeitures is the dollar amount that equivalents to the proportion of federal grant funds to the total task force budget, multiplied by the gross forfeiture.

Example:

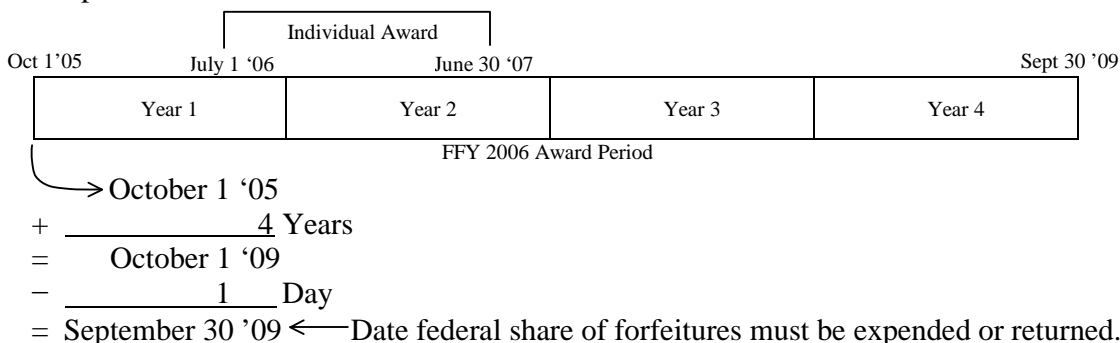
Grant Award	\$100,000	} $\$100,000 \div \$500,000 = 20\%$	Award	Total Budget
Total Budget	\$500,000			
Forfeiture	\$ 80,000			
Federal Share - Rate	x 20%			
Federal Share - Amount	\$ 16,000	← This is the amount subject to the restrictions placed on grant/forfeiture funds by federal regulations.		

2. The federal share of each forfeiture must remain dedicated to the seizing activity (i.e. the task force or multi-jurisdictional effort for which the grant was made). These funds must be accounted for under the same standards as grant and match funds, except that the forfeiture date must also be tracked. When expended, the expenditure may be counted as match.
3. The federal share of each forfeiture must be expended within the period of the grant award period in which it was forfeited^{*1}. Any portion of the forfeiture funds subject to federal claim, not expended by that date, must be returned to the federal government. Return of these funds is to be made by check addressed to the Department of Community, Trade and Economic Development, which will forward the funds to the U.S. Department of Justice.

To provide maximum flexibility to law enforcement agencies provided federal grant funds, the Department of Community, Trade and Economic Development is using its federal award period rather the individual task force award in order to allow a longer usage window.

The standard duration^{*2} of a federal award which may be passed through to law enforcement is four years, starting on October 1st of the calendar year preceding the beginning of the individual task force award. To determine the date by which the federal share of forfeitures must be expended or returned, add four years to the beginning date of the state award and subtract 1 day.

Example:



^{*1} CTED does not has authority to waive or extend this requirement.

^{*2} Recipients of awards encompassing forfeitures will be notified of any change from this standard.

4. The grant recipient must ensure that it can clearly demonstrate:

- a) the federal share of forfeitures has been expended,
- b) which forfeited funds (the date of the forfeiture) were expended,
- c) the date of the expenditure, and
- d) that the expenditure did not supplant funds which were otherwise budgeted for expenditure.

The accounting controls and paper trail needed to demonstrate these requirements varies for each grant recipient dependent upon the specifics of its budgeting process and the how it receives authorization to expend funds.

It is highly encouraged that each grant manager review this requirement with their supporting fiscal office. CTED staff is available to assist in this review.

WARNING: Do not confuse the federal restrictions on the federal share of forfeitures with the restrictions imposed by RCW 69.50.505 or the U.S. Department of Justice Attorney General's Guidelines on Seized and Forfeited Property.

For forfeitures under federal rules:

- The grant restrictions delineated in this appendix apply to the share of the forfeiture calculated in paragraph 1 above.
- The U.S. Department of Justice Attorney General's Guidelines on Seized and Forfeited Property apply to all of the seizure.

For forfeitures under state rules:

- The grant restriction delineated in this appendix apply to the share of the forfeiture calculated in paragraph 1 above.
- RCW 69.50.505 applies to the balance of the seizing activity's forfeiture.

**APPENDIX F –
Residential Substance Abuse Treatment - Specific Information/Authorization**

Maximum project award length:	Not limited
Maximum contract length:	12 Months
Allowable expenses	All standard expense categories except that noted below
Unallowable expenses:	Advertising Confidential funds

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APPENDIX G – Project Safe Neighborhoods - Specific Information/Authorization

Maximum project award length:	Not limited
Maximum contract length:	Varies upon termination date of the federal award to the state
Allowable expenses:	All standard expense categories, specifically including program advertising (<i>not project/agency advertising</i>), except that noted below.
Unallowable expenses:	Advertising – Public service announcements for: <ul style="list-style-type: none">- “Mothers”- “Sentenced”- “Family Prison” Confidential funds (including rewards) Gun buy back programs Gun locks (for details see http://www.projectchildsafe.org/) New Construction Renovations or Re-Modeling of property that is: <ul style="list-style-type: none">- Listed or eligible to be listed in the National Registry of Historic Places, or- Located within a 100 year flood plain, or- Change the basic prior use of a facility, or- Significantly change its size Research and technology whose anticipated and future application is expected to have an effect on the ecology Implementation of a program involving the use of chemicals

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APPENDIX H – Forensic Science Improvement - Specific Information/Authorization

Maximum project award length: Not limited
Continuation funding dependent upon continued project recommendation by the Forensic Investigations Council

Maximum contract length: 12 Months (federal award period to the state)

Allowable expenses:

Unallowable expenses: Advertising
Confidential funds

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APPENDIX I – Procurement Standards

To be published. Pending publication, the general guidance published in the U.S. Department of Justice, Office of Justice Programs, Office of the Comptroller's [Financial Guide](#) is extracted for your use:

PROCUREMENT STANDARDS

1. **General.** A State shall follow the same policies and procedures it uses for procurement from its non-Federal funds. The State shall ensure that every purchase order or other contract includes any clauses required by Federal statutes and executive orders and their implementing regulations. Subrecipients of States shall follow the procurement requirements imposed upon them by the States. Other recipients and subrecipients will follow OMB Circular A-110.
2. **Standards.** Recipients and subrecipients shall use their own procurement procedures and regulations, provided that the procurement conforms to applicable Federal law and the standards identified in the Procurement Standards Sections of 28 CFR Parts 66 and 70. Any recipient/subrecipient whose procurement system has been certified by a Federal agency is not subject to prior approval requirements of 28 CFR Parts 66 and 70. The awarding agency's prior approval will be required only for areas beyond limits of the recipient/subrecipient certification.
3. **Adequate Competition.** All procurement transactions, whether negotiated or competitively bid and without regard to dollar value, shall be conducted in a manner so as to provide maximum open and free competition. All sole-source procurements in excess of \$100,000 must receive prior approval of the awarding agency. Interagency agreements between units of government are excluded from this provision.
4. **Non-competitive Practices.** The recipient/subrecipient shall be alert to organizational conflicts of interest or non-competitive practices among contractors which may restrict or eliminate competition or otherwise restrain trade. Contractors that develop or draft specifications, requirements, statements of work, and/or Requests for Proposals (RFP) for a proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award of such procurement. Any request for exemption must be submitted in writing to the awarding agency.

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APPENDIX J

Common Forms

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**U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER**

**CERTIFICATION REGARDING
DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION
LOWER TIER COVERED TRANSACTIONS
(SUB-RECIPIENT)**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211).

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- (2) Where the prospective lower-tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name and Title of Authorized Representative

Signature

Date

Name of Organization

Address of Organization

[Return to Index](#)

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower-tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower-tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower-tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549.
5. The prospective lower-tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower-tier participant further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Non-procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under Paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

**CERTIFICATION REGARDING LOBBYING, DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS;
AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. Lobbying

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application

2. Debarment, Suspension, and Other Responsibility Matters (Direct Recipient)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510 –

- A. The applicant certifies that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

3. Drug-Free Workplace (Grantees Other Than Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620—

- A. The applicant certifies that it will or will continue to provide a drug-free workplace by:
 - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an on-going drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;

- (2) The grantee's policy of maintaining a drug-free workplace.
- (3) Any available drug counseling, rehabilitation, and employee assistance program; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will –
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue NW, Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of performance (street address, city, county, state, zip code):

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

Drug-Free Workplace (Grantees Who Are Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

- A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and
- B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within ten calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, NW, Washington, D.C. 20531

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address: _____

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative: _____

5. Signature

6. Date

CIVIL RIGHTS REQUIREMENTS

The following civil rights requirements apply to all units of local government and state agencies regardless of grant acceptance, and both for profit and non-profit organizations accepting federal grant funds. Beneath each requirement are one or more references that are provided to assist in understanding and compliance. It should be noted that the compliance requirements apply to the entire jurisdiction/organization, and not just to the funded activities.

1. Omnibus Crime Control and Safe Streets Act of 1968 (42 USC § 3789d)

reference: <http://www.usdoj.gov/crt/split/42usc3789d.htm>

2. Victims of Crime Act

reference: <http://www.usdoj.gov/crt/split/42usc3789d.htm>

3. Title IV of the Civil Rights Act of 1964

reference: <http://www.usdoj.gov/crt/cor/coord/titlevi.htm>

4. Section 504 of the Rehabilitation Act of 1973

reference: http://www.advocacyinc.org/AC2_print.htm

5. Title II of the Americans with Disabilities Act of 1990

References:

- Text - The Americans with Disabilities Act
<http://www.usdoj.gov/crt/ada/pubs/ada.txt>
- Title II Highlights
<http://www.usdoj.gov/crt/ada/t2hlt95.htm>
- The Americans with Disabilities Act, Title II Technical Assistance Manual
<http://www.usdoj.gov/crt/ada/taman2>
- Commonly Asked Questions – ADA and Law Enforcement
http://www.usdoj.gov/crt/ada/q%26a_law.htm
- Commonly Asked Questions – ADA and Hiring Police Officers
<http://www.usdoj.gov/crt/ada/copsq7a.htm>
- Self Evaluation and Transition Plan Worksheets
<http://adaptenv.org/index.php?option=Resource&articleid=185&topicid=25>

6. Title IX of the Education Amendments of 1972

reference: <http://www.usdoj.gov/crt/cor/coord/titleix.htm>

7. Age Discrimination Act of 1975

reference: <http://www4.law.cornell.edu/uscode/42/6102.html>

8. USDOJ Non-Discrimination Regulations (28 CFR 42, Subparts C, D, E and G)

reference: http://www.access.gpo.gov/nara/cfr/waisidx_00/28cfr42_00.html

9. USDOJ Regulations on Disability Discrimination (28 CFR Part 35 & Part 39)

references:

- Text – 28 CFR 28 Part 35
http://www.access.gpo.gov/nara/cfr/waisidx_00/28cfr35_00.html
- Text – 28 CFR 28 Part 39
http://www.access.gpo.gov/nara/cfr/waisidx_00/28cfr39_00.htm

INFORMATION AND ASSISTANCE

The agencies and organizations listed below can provide technical advice and assistance.

U. S. Department of Justice

Office of Civil Rights

Coordination and Review Section

810 – 7th Street NW

Washington, D.C. 20531

Voice: (202) 307-0690

TDD/TTY: (202) 307-2027

www.ojp.usdoj.gov/ocr

Washington Human Rights Commission

711 S Capital Way, Suite 402

PO Box 42490

Olympia, WA 98504-2490

Voice/TDD: (360) 753-6770

Voice: 1-800-233-3247

TTY: 1-800-300-7525

www.hum.wa.gov

Job Accommodation Network (JAN)

1-800-526-7234 (Voice/TTY)

jan@jan.wvu.edu

U. S. Architectural and Transportation

Barriers Compliance Board

1-202-272-0017 (Voice)

1-202-272-0082 (TTY)

Office for Civil Rights

Department of Health and Human Services

www.os.dhhs.gov/ocr

Equal Employment Opportunity Commission

(U. S. Government)

State of Washington Area Office

909 – 1st Avenue, Suite 400

Seattle, WA 98104

Voice/TDD: (206) 220-6882

1-800-669-4000

Department of Personnel

Workforce Diversity Office

PO Box 47500

Olympia, WA 98504-7500

Voice: (360) 664-6228

TTY/TDD: (360) 664-6211

Department of Labor and Industries

Vocational Services

PO Box 44323

Olympia, WA 98504-4323

Voice: (360) 902-5456

Washington Division of Vocational Rehabilitation

Department of Social and Health Services

(38 field offices statewide)

Provides employment services to persons with disabilities and businesses

Voice/TDD: 1-800-637-5627

Washington Governor's Committee on Disability

Issues and Employment

PO Box 9046

Olympia, WA 98507-9046

Executive Secretary, Toby Olson

Voice: (360) 438-3168

TTY: (360) 438-316

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above Civil Rights requirements specified on the previous page of this certification.

SIGNATURE OF WAIVING OFFICIAL

TITLE OF OFFICIAL COMPLETING THE WAIVER

JURISDICTION/ORGANIZATION REPRESENTED

DATE

CONFIDENTIAL FUND CERTIFICATION

This applicant certifies to have read, understood, and agreed to abide by all the conditions for confidential funds as set forth in the Drug Control and System Improvement Formula Grant Program Policy and Procedures Manual published by the Department of Community, Trade and Economic Development.

Contractor: _____

Address: _____

City, State, Zip: _____

The amount of funding budgeted for confidential funds by the task force for 20__-20__ is as follows:

	FEDERAL GRANT	LOCAL MATCH
Purchase of Services:	\$_____	\$_____
Purchase of Information:	\$_____	\$_____
Purchase of Evidence:	\$_____	\$_____
TOTAL:	\$_____	\$_____

This certification applies to both grant and match funds.

Signature: _____ Date: _____

Title: _____

Note 1: If forfeited funds are used, they should be reported under ‘Local Match’.

Note 2: If confidential funds from a grant related source (grant, match, or forfeiture account) are not budgeted, enter N/A on each line under ‘Federal Grant’ and ‘Local Match’.

Note 3: The Federal and Match column totals should equal those on application budget form.

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STATE OF WASHINGTON
DEPARTMENT OF COMMUNITY, TRADE
AND ECONOMIC DEVELOPMENT

PROGRAM
FORM

EQUAL EMPLOYMENT OPPORTUNITY PLAN (EEOP) CERTIFICATION

Recipient Name and Address: _____
Grant Program Title: _____ Federal Award Number: _____
Project Title: _____ Sub-award No.: _____
Award Amount: _____ Contact Person Name/Title: _____
Phone Number: _____

Federal regulations require recipients of financial assistance from the Office of Justice Programs (OJP), its component agencies, and the Office of Community Oriented Policing Services (COPS) to prepare, maintain on file, submit to OJP for review, and implement an Equal Employment Opportunity Plan (EEOP) in accordance with 28 CFR Sections 42.301-.308. The regulations exempt some recipients from all of the EEOP requirements. Other recipients, according to the regulations, must prepare, maintain on file and implement an EEOP, but they do not need to submit the EEOP to OJP for review. Recipients that claim a complete exemption from the EEOP requirement must complete Section A below. Recipients that claim the limited exemption from the submission requirement must complete Section B below. A recipient should complete either Section A or Section B, not both. If a recipient receives multiple OJP or COPS grants, please complete a form for each grant, ensuring that any EEOP recipient certifies as completed and on file (if applicable) has been prepared within two years of the latest grant. Please send the completed form(s) to: **Department of Community, Trade & Economic Development, Safe & Drug-Free Communities Unit, Attn: Bill Johnston, 906 Columbia Street SW, PO Box 42525, Olympia, WA 98504-2525.**

Section A - Declaration of Claiming Complete Exemption from the EEOP Requirement. Please *check all* boxes *that apply*.

- | | | |
|--|---|--|
| <input type="checkbox"/> Recipient has less than 50 employees | <input type="checkbox"/> Recipient is an Indian Tribe | <input type="checkbox"/> Recipient is a non-profit organization |
| <input type="checkbox"/> Recipient is an educational institution | <input type="checkbox"/> Recipient is a medical institution | <input type="checkbox"/> Recipient's award is less than \$25,000 |

I, _____ [responsible official], certify that _____ [recipient] is not required to prepare an EEOP for the reason(s) checked above, pursuant to 28 CFR Sections 42.302. I further certify that _____ [recipient] will comply with the applicable Federal civil rights laws that prohibit discrimination in employment and in the delivery of services.

_____ Print or type Name and Title	_____ Signature	_____ Date
---------------------------------------	--------------------	---------------

Section B - Declaration Claiming Exemption from the EEOP Submission Requirement and Certifying that an EEOP is on File for Review.

If a recipient agency has 50 or more employees and is receiving a single award or sub-award for \$25,000 or more, but less than \$500,000, then the recipient agency does not have to submit an EEOP for review as long as it certifies the following (42 CFR Section 42.305):

I, _____ [responsible official], certify that _____ [recipient], which has 50 or more employees and is receiving a single award or sub-award for \$25,000 or more, but less than \$500,000, has formulated an EEOP in accordance with 28 CFR Section 42.301, *et. seq.*, subpart E. I further certify that the EEOP has been formulated and signed into effect within the past two years by the proper authority and that it is available for review. The EEOP is on file in the office of _____ [organization], at _____ [address], for review by the public and employees or for review or audit by officials of the relevant state planning agency or the Office for Civil Rights, Office of Justice Programs, U.S. Department of Justice, as required by relevant laws and regulations.

_____ Print or type Name and Title	_____ Signature	_____ Date
---------------------------------------	--------------------	---------------

OMB Approved No. 1121-0140 Expiration Date: 1/31/08

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Equal Employment Opportunity Plan (EEOP) Certification

INSTRUCTIONS

Applicability: This form is to be completed by all recipients and sub-recipients receiving less than \$500,000. If receiving \$500,000 direct, recipients are to submit a complete EEOP plan to the Department of Community, Trade and Economic Development (CTED).

Disposition: The direct recipient should keep a copy of the forms for all sub-recipients, and forward one copy of this form for all applicable recipients to CTED for consolidated submission to the Office of Justice Programs.

General Information:

1. Directly below the form's title, following 'Recipients Name and Address' enter the organization's name and primary mailing address, do not enter a tribal agency or department.
2. Leave Blank the lines following 'Sub-award No.:' and the 'Award Amount.' CTED will make these entries if the applicant is selected for funding.
3. Following 'Contact Person Name/Title:' enter the name of the tribal official responsible for civil rights compliance or personnel actions.
4. Following 'Phone Number:' enter the phone number at which the 'Contact Person' may be contacted.

Section A: Determine if your agency meets one or more of the six criteria. If not, skip to Section B.

**** Common Error – “Recipient has less than 50 Employees” means the entire jurisdiction/agency ****

Any official authorized to sign on behalf of the organization may complete this section, although completion by the contact person (listed at the top of the form) or personnel officer is preferred.

5. Preceding '[responsible official]' type the name of the official executing the form.
6. Preceding '[recipient]' type the name of the contracting organization/jurisdiction—not just an agency or department of the organization/jurisdiction.
7. Type or print the name and title of the official executing the certificate.
8. Sign and date the form.

Section B: Complete this section only if your agency does not meet any of the six criteria for Section A.

Any official authorized to sign on behalf of the organization may complete this section, though completion by the contact person (listed at the top of the form) or personnel officer is preferred.

9. Preceding '[responsible official]' type the name of the official executing the form.
10. Preceding '[recipient]' type the name of the contracting organization/jurisdiction—not just an agency or department of the organization/jurisdiction.
11. Type or print the name and title of the official executing the certificate.
12. Sign and date the form.

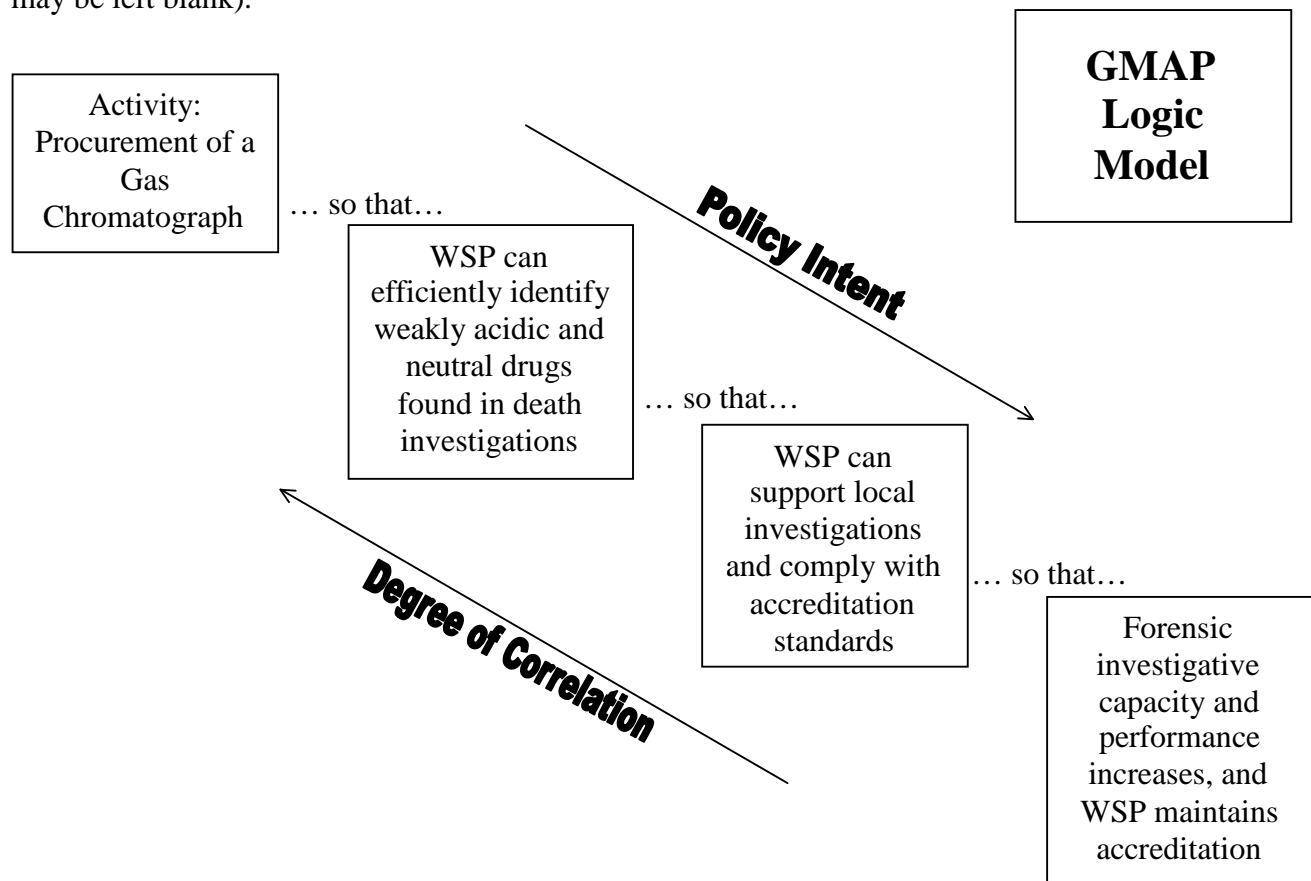
**GMAP LOGIC MODEL
PROJECT OUTCOMES**

One of the greatest difficulties in obtaining or maintaining legislative willingness to provide grant funds is justifying the funds in terms of outcomes. To do this we must be able to say what the program buys in bottom-line terms; what is the significance of the changes induced by the expenditure.

This is particularly difficult when a grant supports many different activities, or the activities are removed several steps from the ultimate outcome.

One of the tools used in GMAP (Government Management Accountability and Performance) is a “Logic Model.” This model assists in demonstrating the outcome of project activities while linking the different activities.

Please study the explanation and the example of the logic model on the reverse of this page. Then complete the outline on Page 3. (Note: many activities will not require the number of intermediate outcomes allowed for in the outline provided. If such is the case, the excess rows may be left blank).



This logic model can also be presented as follows:

<i>ACTIVITY/PROCESS</i>	WSP procures a Gas Chromatograph	<i>PERFORMANCE MEASURES</i>
<i>OUTPUT</i>	Which...analyzes samples	\$ savings per sample tested Time savings per analysis
<i>Immediate OUTCOME</i>	So that...presence of weakly acidic and neutral drugs found in death investigations may be identified/quantified	# of samples analyzed
<i>Intermediate OUTCOME</i>	So that...presence of illicit drugs and poisons is identified as contributing or primary causes of death	% of samples identifying drugs contributing to death
<i>Intermediate OUTCOME</i>	So that...local investigator may determine cause of death and criminal or public health investigation may be initiated (or not)	# of criminal/public health investigations initiated % of cases ... wrongful death
<i>Ultimate OUTCOME</i>	So that...forensic investigation capacity is increased and accreditation requirements are met	% increase in # of analysis Y/N to a mandatory process

Note: this example was developed by non-technical personnel, and is intended only as an illustration¹

Discussion/Considerations:

While the logic model may be worked from either end—Activity or Ultimate Outcome—both are normally known at the beginning of the process and are entered immediately. To complete the logic chain, it is normally easiest to work from the Activity to the Ultimate Outcome in order to support and demonstrating the value of a given activity.

This particular example has two elements to the ultimate outcome, since the undertaken program has two primary goals. Most logic models can/are boiled down to one “Ultimate Outcome,” which is the primary reason for dedicating public funds to the program, specific activity, or process.

As you work through the model you may find a number of branches or secondary outcomes. Unless they are central to the rationale for the activity, or are independently sufficient to warrant the activity, they should be put aside as distracters for the purpose of presenting the logic model. Those that remain should be quantified in the performance measures column. The number of intermediate outcomes required for any given logic model is dependent upon how directly the activity is related to the “Ultimate Outcome.”

Care should be taken in listing the Performance Measures, since these measures will form the basis of your quarterly report requirement. They must be supported by data that is both relevant and available.

This model is not intended to claim that any specific activity is the cause of the ultimate outcome. It is intended to demonstrate the rationale for the action/process, and to at least partially demonstrate contribution of the activity to support the ultimate outcomes.

Instructions:

- For each activity identified for your award, as specified in the CONTRACT’S Attachment B – Statement of Work, complete one of the following Logic Model tables.
- Additional sheets/tables may be attached as needed.
- If the number of rows for Intermediate Outcomes is not required, either delete the row or leave it blank. If additional Intermediate Outcomes are required, insert additional rows.
- Enter at least one performance measure per row in the rightmost column.

PROJECT OUTCOMES - LOGIC MODEL

<i>ACTIVITY/PROCESS</i>		<i>PERFORMANCE MEASURES</i>
<i>OUTPUT</i>	Which...	
<i>Immediate OUTCOME</i>	So that...	
<i>Intermediate OUTCOME</i>	So that...	
<i>Intermediate OUTCOME</i>	So that...	
<i>Ultimate OUTCOME</i>	So that...	

<i>ACTIVITY/PROCESS</i>		<i>PERFORMANCE MEASURES</i>
<i>OUTPUT</i>	Which...	
<i>Immediate OUTCOME</i>	So that...	
<i>Intermediate OUTCOME</i>	So that...	
<i>Intermediate OUTCOME</i>	So that...	
<i>Ultimate OUTCOME</i>	So that...	

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NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)

The following information is required from each Justice Assistance Grant recipient. CTED will consolidate all the responses of all funded projects and submit it to the U.S. Department of Justice.

Please check the appropriate space to the left of each item below, indicating whether or not the activity described is being undertaken to support or facilitate the Justice Assistance Grant funded activity by the grant recipient or any other party.

(Note¹ - The source of funds utilized is irrelevant to your response.)

(Note² - If the activity is being undertaken without regard to the presence or operation of a Justice Assistance Grant funded activity, the item should not be checked.)

Yes
Activity N/A

- | | | | |
|-------|-------|----|--|
| _____ | _____ | 1. | New Construction |
| _____ | _____ | 2. | Minor renovation or remodeling of a property either: |
| _____ | _____ | a. | Listed or eligible for listing on the National Register of Historical Places. |
| _____ | _____ | b. | Located within a 100-year flood plain. |
| _____ | _____ | 3. | Renovation, lease, or any proposed use of a building or facility that will either: |
| _____ | _____ | a. | Result in a change in its basic prior use (between industrial, office, residential, etc.). |
| _____ | _____ | b. | Significantly change its size (total structure, not program's portion thereof). |
| _____ | _____ | 4. | Implementation of a new program involving the use of chemicals other than: |
| _____ | _____ | a. | Chemicals purchased as an incidental component of the funded activity. |
| _____ | _____ | b. | Traditionally used (e.g. for office, household, recreational, educational environments). |

Response is made related to the following Justice Assistance Grant funded program/project:

Program: _____

Project: _____

Signature: _____ Date: _____

Typed Name: _____

Representing _____

Jurisdiction/Agency

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POINTS OF CONTACT

Contracting Point of Contact: (Who should the contract be returned to/amendments addressed to)

Name: _____
Title: _____ Phone #: _____
Org: _____ Fax #: _____
Address: _____ E-mail addr.: _____
City: _____, Washington Zip + 4: _____

Policy Issues Contact: (Contracting agency/oversight board representative with program involvement)

Name: _____
Title: _____ Phone #: _____
Org: _____ Fax #: _____
Address: _____ E-mail addr.: _____
City: _____, Washington Zip + 4: _____

Operations Contact: (Who should be contracted for programmatic concerns, monitoring, etc.)

Name: _____
Title: _____ Phone #: _____
Org: _____ Fax #: _____
Address: _____ E-mail addr.: _____
City: _____, Washington Zip + 4: _____

Contact for Report Inquiries: (Who fills out the quarterly reports)

Name: _____
Title: _____ Phone #: _____
Org: _____ Fax #: _____
Address: _____ E-mail addr.: _____
City: _____, Washington Zip + 4: _____

Contact for Fiscal Inquiries: (Who fills out the monthly expenditure report/request for reimbursement)

Name: _____
Title: _____ Phone #: _____
Org: _____ Fax #: _____
Address: _____ E-mail addr.: _____
City: _____, Washington Zip + 4: _____

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PROGRAM SUMMARY

Goal/Objectives:

- XXXXXXXXXXXXXXXXXXXXXXXXXXXX
- XXXXXXXXXXXXXXXXXXXXXXXXXXXX
- XXXXXXXXXXXXXXXXXXXXXXXXXXXX

Number of Projects/Sites: ____ Projects

____ Site/Project , ____ City, Washington

____ Site/Project , ____ City, Washington

____ Site/Project , ____ City, Washington

Funding Information:

Federal: \$ _____

State: \$ _____

Local: \$ _____

Program Activities:

- XXXXXXXXXXXX XXXXXXXXXXX XXX XXX XX XXXXXXXXXXXXXXXXXXXXXXXXXXXX
- XXXXXXXXXXXX XXXXXXXXXXX XXX XXX XX XXXXXXXXXXXXXXXXXXXXXXXXXXXX
- XXXXXXXXXXXX XXXXXXXXXXX XXX XXX XX XXXXXXXXXXXXXXXXXXXXXXXXXXXX

Performance Measures:

- XXXXXXXXXXX XXXXXXXXXXX XXXXX XXX XXXXXXXXXXX
- XXXXXXXXXXX XXXXXXXXXXX XXXXX XXX XXXXXXXXXXX
- XXXXXXXXXXX XXXXXXXXXXX XXXXX XXX XXXXXXXXXXX

Successes and Accomplishments:

- XXXXX XXX XXXXXXXXXXX XXX XXX XXXXX XXX XXXXXXXXXXXXXXXXXXXX
- XXXXX XXX XXXXXXXXXXX XXX XXX XXXXX XXX XXXXXXXXXXXXXXXXXXXX
- XXXXX XXX XXXXXXXXXXX XXX XXX XXXXX XXX XXXXXXXXXXXXXXXXXXXX

Free text comments in bullet, short phrase or paragraph format (optional)

Presented for Format Only

PROGRAM SUMMARY

Discussion:

This document essentially provides, in narrative form, a merger of the goals, objectives, implementing activities, and performance measures drawn from the program abstract; and the successes and accomplishments reported on the last page of the overall program's year-end activity report.

Format:

The format displayed by the sample on the previous page is established by federal requirements. However, it is flexible in terms of the number of goals/objectives that are listed (all those specified in the program abstract), the number of projects/sites, and the elimination of the "state" in the funding section if no state funds are utilized.

SIGNATURE AUTHORIZATION

(See reverse for instructions.)

All signatures MUST be original. Stamped signatures will not be accepted.

1. NAME OF ORGANIZATION		DATE SUBMITTED
2. NAME OF PROJECT		CONTRACT NUMBER
3. AUTHORIZED TO SIGN APPLICATIONS/REVISED APPLICATIONS		
SIGNATURE	PRINT OR TYPE NAME	TITLE
4. AUTHORIZED TO SIGN CONTRACTS/CONTRACT MODIFICATIONS		
SIGNATURE	PRINT OR TYPE NAME	TITLE
5. AUTHORIZED TO SIGN VOUCHERS		
SIGNATURE	PRINT OR TYPE NAME	TITLE
6. AUTHORIZING AUTHORITY		
SIGNATURE	PRINT OR TYPE NAME	TITLE

DEPARTMENT OF COMMUNITY, TRADE AND ECONOMIC DEVELOPMENT
906 Columbia Street SW
PO Box 42525
Olympia, WA 98504-2525

**SIGNATURE AUTHORIZATION
INSTRUCTIONS**

All Signatures MUST be original. Stamped signatures will not be accepted.

1. Enter the name of the organization functioning as contractor and the date you are completing this form.
2. Enter the name of the program (i.e.: Youth Violence Prevention and Intervention Program) and the CTED contract number.
3. Enter the name of the person or persons who are authorized to sign applications and requests for revised applications (amendments).

EXAMPLE:

3. AUTHORIZED TO SIGN APPLICATIONS/REVISED APPLICATIONS		
SIGNATURE	PRINT OR TYPE NAME	TITLE
<i>John Goforth</i>	John Goforth	Program Developer

4. Enter the name of the person or persons who are authorized to sign contracts and contract modifications (amendments).
5. Enter the name of the person or persons who are authorized to sign vouchers. It is advisable to designate more than one person who can function in this capacity.
6. Enter the name of the person or persons who have the authority to authorize contract(s) and agreements, such as: county commissioner, executive director, or program director. This should be the same person as identified in the "Authorized to Sign Contracts" section.

STATEMENT OF ASSURANCES

The Applicant:

1. Has sufficient fiscal and management controls to implement and maintain the <Program Title> Program in accordance with this application and BJA requirements. Has sufficient monetary resources to implement and administer the <Program Title> Program operations in accordance with this application.
2. Will not use any grant funds to supplant local funds, but will use such grant funds to increase the amounts of funds that would, in the absence of federal funds, be made available for <Program Title> Program activities. Will provide matching funds required to pay the non-federal portion of the Youth Violence Prevention and Intervention Program expenses, for which federal grant funds are made available, which shall be in addition to funds that would otherwise be made available for <Program Title> Program activities.
3. Will provide full cooperation of administrative and program staff, and availability of all records upon request and convenience of staff from the Department of Community, Trade and Economic Development, Office of the State Auditor, or U.S. Department of Justice, who are charged with monitoring program compliance and the use of funds provided.
4. Will comply with the requirements of the <Federal Grant Award Title> Grant Program as published by the Department of Community, Trade and Economic Development and relevant federal agencies, and as embodied in statute.
5. Will comply with Title V of the Anti-Drug Abuse Act of 1988 and regulations promulgated by the federal government to maintain a drug-free workplace.
6. Will comply with Title II of the Americans with Disabilities Act of 1990.
7. Will not undertake any prohibited political activities with these funds including, but not limited to, voter registration, partisan political activity, lobbying congress, the legislature, or any federal or state agency for project of jurisdictionally specific activity, or campaign for any ballot measure. Will comply with the provisions of Title 28, Code of Federal Regulations; Part 61, Procedures for Implementing the National Environmental Policy Act; and Part 63, Floodplain Management and Wetland Protection Procedures.
8. Guarantees that in performing any contract, purchase or other agreement, the organization shall not discriminate against any employee or applicant for employment because of race, color, religion, age, sex, marital status, national origin, political affiliation or the presence of any sensory, mental or physical disability. The organization agrees to take affirmative action to ensure that applicants are employed and that employees are treated during employment without discrimination because of their race, color, religion, age, sex, political affiliation, handicap or national origin. Such action shall include, but not be limited to, employment upgrading, demotion or transfer, recruitment and recruitment advertising, layoff or termination, rates of pay or other forms of compensation and training. This guarantee shall implement federal, state and any local equal opportunity and non-discrimination statutes. The applicant further will, without delay, bring any finding of an equal opportunity or non-discrimination violation to the attention of the Department of Community, Trade and Economic Development.
9. Will maintain accurate records of law enforcement activities related to the Drug Control and System Improvement Formula Grant Program.

PLEASE NOTE: THE DEPARTMENT'S ACCEPTANCE OF THIS APPLICATION FOR FUNDING IS SUBJECT TO SUBSEQUENT COMPLIANCE REVIEWS THAT MAY REQUIRE CORRECTIVE ACTION BY THE APPLICANT. AUTHORIZED SIGNATURE BY THE APPLICANT GUARANTEES ASSURANCES THAT ARE CONTAINED ON THE APPLICATION FACE SHEET

11. Authorized Signature for the Applicant:

SIGNATURE

DATE

PRINTED NAME OF SIGNATOR

TITLE

These are the generic, minimum, assurances required for grants funded with Bureau of Justice Assistance funds. Additional clauses may be added due to the specifics of a given grant program or sub-recipients' history/risk assessment.

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APPENDIX K

Special Use Forms

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PROGRAM Form

Project Name:

Award Year: 75

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JUSTICE ASSISTANCE GRANT PERFORMANCE METRICS

1	Number of Meth Investigations. How many meth related investigations were conducted? Meth Investigations
2	How many meth related search warrants were issued? Meth related search warrants
3	How many meth related arrests were made?
4	Number of meth labs seized. How many meth labs were seized? How many involved minors? Meth labs seized Number meth labs involving minors (present/exposed)(included in total number of labs seized)
5	How many meth dump sites were discovered?
6	How many meth related sites were mitigated or cleaned up? (for law enforcement, mitigation means initial airing)
7	Amount of meth seized. How much meth was seized in grams? Street value? Grams Street value
8	How much meth precursor was seized in grams? Grams
9	How much meth was purchased in grams? Street value? Grams, if distinguished from seized meth
10	Number of prevention programs. How many prevention programs occurred?
11	How many prevention awareness trainings were provided for law enforcement?
12	How many school resource officers were funded?
13	Number of drug court programs. How many drug courts were funded? Total number of drug court programs, regardless of funding source Number funded
14	How many drug court participants?
15	How many drug court graduates?
16	Number of treatment programs. How many institutional based treatment programs were funded? Treatment programs (inclusive of institutionally and community based programs) Institutionally based treatment programs
17	How many community based treatment programs were funded? Institutionally based treatment programs
18	How many aftercare programs were funded?
19	Number of school based gang education programs. How many programs occurred?
20	How many students participated?
21	How many trainers were trained?

22	Number of community based social intervention/gang diversion programs. How many programs were funded?
23	How many participants were enrolled in the programs?
24	How many participants successfully completed the programs and/or remained in the program for a year or more?
25	Number of alternative to incarceration programs. How many programs were funded? Total number programs, regardless of funding source Number funded
26	How many offenders participated?
27	How many offenders successfully completed the programs?
28	Number of gang investigations. How many gang investigations occurred?
29	How many arrests resulted from these investigations?
30	How many successful* prosecutions resulted from these investigations?
31	Number of specialized gang units or officers. How many officers received intensive training on gangs? Number of gang officers Officers receiving intensive training this report period
32	How many officers were solely dedicated to gang interdiction activities? number of gang dedicated officers
33	How many specialized gang units/task forces were in operation?
34	Number of gang intelligence systems. How many gang intelligence systems were developed?
35	How many intelligence systems were subscribed to for gang related purposes?
36	How many officers were trained for these systems? Given access to these systems? Number of officers trained Number of officers grant access

*Explanation added: Successful prosecutions are those resulting in a plea bargain or conviction

MONITORING TOOL – GENERAL PROGRAMS

ADMINISTRATION

POC:

POC:

1. SUB-CONTRACTS AND INTERLOCAL AGREEMENTS

Are there sub-contractors/other formal participants? (Yes/No) _____

Are there written policies and procedures in place passing federal compliance requirements on to any/all sub-contractors (performance agents/participants, not suppliers, etc.)? (Yes/No) _____

Are sub-contractors/participants held to the same level of compliance as the contractor? (Yes/No) _____

Are there sub-contractors/other formal participants (Yes/No) _____

2. PROPERTY MANAGEMENT

Procurement –

Was accountable property (over \$1000, sensitive or highly pilferable) purchased in the last 5 years with grant or match funds? (Yes/No) _____

Does the project have written procurement procedures? (Yes/No) _____

How and by whom are purchases made? (Yes/No) _____

Are the individuals making purchases aware of the procurement procedures? (Yes/No) _____

Are there controls on high dollar and sole source purchases? (Yes/No) _____

Usage –

Is the custody, use and value of the property dedicated to the project? (Yes/No) _____

Have any losses, damage, or theft of property been investigated? (Yes/No) _____

Project equipment is not used to provide services for a fee, competing unfairly with private companies? (Yes/No) _____

Disposition –

Has any grant related property been disposed of in the last 12 months? (Yes/No) _____

Disposition method(s):

Were the proceeds or credit received (if any) returned to the project? (Yes/No) _____

Inventory –

Conducted within the last 13 months (1 year +/-) _____, dated _____.

Records maintained on property bought with grant or match funds include:

Yes No

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Description of the property |
| <input type="checkbox"/> | <input type="checkbox"/> | Serial or ID# |
| <input type="checkbox"/> | <input type="checkbox"/> | Supplier of the property |
| <input type="checkbox"/> | <input type="checkbox"/> | Title holder's name |
| <input type="checkbox"/> | <input type="checkbox"/> | Acquisition date |
| <input type="checkbox"/> | <input type="checkbox"/> | Cost of the property |
| <input type="checkbox"/> | <input type="checkbox"/> | Percentage of federal funds used in the purchase |
| <input type="checkbox"/> | <input type="checkbox"/> | Location and use of the property |
| <input type="checkbox"/> | <input type="checkbox"/> | Condition of the property |
| <input type="checkbox"/> | <input type="checkbox"/> | Ultimate disposition data, with disposition method, date, and revenue generated |

3. REPORTS

Were Activity Reports submitted as periodically required? (Yes/No) _____

Did the reports respond the required information? (Yes/No) _____

Spot checked the following report items:

Public reports and publications provided CTED: (Yes/No) _____

Include a clause crediting federal funding: (Yes/No) _____

4. FEDERALLY MANDATED ACTIVITIES**Time and Attendance Records -**

Are time and attendance records maintained for by all individuals funded by grant or match funds? (Yes/No) _____

Equal Opportunity -

Does the agency have an Equal Opportunity program in place? (Yes/No) _____

Who administers your Equal Opportunity Program?

Has the program been certified, if so by whom? (Yes/No) _____

Has your agency, or sub-contractors in relation to the project, had any formal findings or rulings against it or its key officers regarding Equal Opportunity? (Yes/No) _____

CTED was promptly notified of any finding of discrimination? (Yes/No) _____

Corrective action, as negotiated or directed, has been implemented? (Yes/No) _____

Drug-Free Workplace –

Does the agency have a Drug-Free Workplace policy in place? (Yes/No) _____

Who administers your Drug-Free Workplace Program? _____

Provisions includes: ☐ Counseling ☐ Rehabilitation ☐ Employee Assistance

Violations result in: ☐ Termination ☐ Penalties ☐ Rehabilitation

Has any employee of the contractor, or sub-contractor related to the project been convicted of a criminal drug offense on the job or premises? (Yes/No) _____

CTED was notified promptly (within 5 days, BJA with 10 of the conviction)? ? (Yes/No) _____

Appropriate personnel action taken within 30 days? (Yes/No) _____

Conflict of Interest -

Has any allegation or finding of Conflict of Interest against any employee or official of the contractor or a sub-contractor been made in relation to the grant? (Yes/No) _____

Describe the allegation of finding: _____

5. PROJECT AND SUPPORTING REFERENCES

The following documents are reasonably available:

Grant Contract or Agreement

Yes No N/A

- | | | | |
|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Interlocal Agreement of Sub-Contract |
| <input type="checkbox"/> | <input type="checkbox"/> | | Policy & Procedures Manual published by CTED |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | OMB Circular A-73 (Revised) Audit of Federal Operations and Programs |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | OMB Circular A-87, Cost Principles for State and Local Governments |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | OMB Circular A-122, Cost Principles for Non-Profit Organizations |
| <input type="checkbox"/> | <input type="checkbox"/> | | Common Rule, Uniform Administrative Requirements for Grant and Cooperative Agreements to State and Local Governments, 28 CFR Part 66 (Grant Common Rule for State and Local Government) |
| <input type="checkbox"/> | <input type="checkbox"/> | | Common Rule, Government-Wide Debarment and Suspension (Non-Procurement) and Government-Wide Requirement for Drug-Free Workplace, 28 CFR Part 67 |
| <input type="checkbox"/> | <input type="checkbox"/> | | Common Rule, Government-Wide Guidance for New Restrictions on Lobbying |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 28 CFR Part 23 - Criminal Intelligence System Operating Policies |

6. ADMINISTRATIVE ISSUES

Issues that have arisen or remain: _____

7. TECHNICAL ASSISTANCE (by CTED)

Assistance that CTED can provide: _____

8. INTERVIEWER(S) OPINION

Based on the answers to the proceeding questions and observations, does the contractor appear to have functional & appropriate administrative processes?

(Yes/No) _____

Summarize any issues that may require follow-up or corrective action:

FISCAL SYSTEMS

POC:
POC:

1. AUDITS

Date of latest available audit: From: _____ To: _____ Dated: _____

Audit was completed by a ☐ State Auditor or ☐ Independent CPA.

Did the audit contain?

Yes No

☐ ☐ Recommendations ,

☐ ☐ Findings relevant to the project .

Were any discrepancies found resolved? _____

The audit was:

☐ a fiscal audit only

☐ included program compliance & performance

The audit was conducted IAW:

☐ A-133 (Gov'mntl)

☐ A-128 (Nonprofit)

☐ Neither

2. ACCOUNTING SYSTEMS

Have there been significant changes to the accounting system or fiscal control? (Yes/No) _____

Is there a written operating manual for the accounting system? (Yes/No) _____

Is the financial accounting system based on: (WAC 275-56)

☐ Accrual (Deduct upon obligation-Add upon receipt)

☐ Cash Accounting (Deduct upon expenditure-Add upon deposit)

☐ Modified Accrual (Deduct upon obligation-Add upon deposit)

Is the system automated? (Yes/No) _____

Is an up-to-date chart of accounts maintained? (Yes/No) _____

The grant is identifiable? (Yes/No) _____

Are contract funds accounted for by revenues, donations, expenditures, indirect and direct costs? (Yes/No) _____

Are grant/match funds separated from other project funds? (Yes/No) _____

The system adequately identify receipts and expenditures by:

Yes No

☐ ☐ Source

☐ ☐ Budget category

Are entries posted from original documents?

(Yes/No) _____

who keeps original receipts? _____

professional status/certification? _____

Entries are posted within _____ days of the activity.

Payment made within _____ days of the activity (cash accounting method).

Transaction and reporting cut-offs are _____.

Fiscal records are maintained for _____ from _____.

Funding does not supplant funds which would otherwise be available for the project?

_____ (question for the initial grant period only).

3. CASH FUNDS

There ☐ are ☐ are not grant or match funds used for cash procurement of services, etc.

Subordinate ledger/controls are established.

(Yes/No) _____

Only one individuals has direct access these funds without accessing sealed keys/combination and recording such access in writing?

(Yes/No) _____

Issuance of funds is by receipt only?

(Yes/No) _____

Expenditure is supported by receipt or 2nd party observation/ acknowledgment.

(Yes/No) _____

The dollar amount of funds issued for 'use upon demand' is established by policy.

(Yes/No) _____

Periodic verification and reissuance of funds to individuals is conducted every _____ (interval), and

includes reconciliation of cash on hand & receipts?

(Yes/No) _____

External reconciliation of the cash funds is conducted _____ (interval) by a disinterested individual knowledgeable of the controls placed

upon cash funds?

(Yes/No) _____

4. INVOICES AND SUPPORTING DOCUMENTATION

Are invoices submitted on a monthly basis?

(Yes/No) _____

Average submittal period following the end of the month is _____

(based on last 10 vouchers).

Are invoices complete, correct and signed? (Yes/No) _____

Are expenditures authorized by category? (Yes/No) _____

Review VOUCHERS (standard is 2 over the last 12 months):

1 - Voucher Nbr _____, For \$ _____

Categories Checked: _____

2 - Voucher Nbr _____, For \$ _____

Categories Checked: _____

3 - Voucher Nbr _____, For \$ _____

Categories Checked: _____

4 - Voucher Nbr _____, For \$ _____

Categories Checked: _____

Expenditure records support the reimbursements claimed? (Yes/No) _____

Timesheets and salary schedules support the reimbursements claimed? (Yes/No) _____

Timesheets and salary schedule checked for _____ individuals, _____ agencies.

Expenditure records support the match claimed? (Yes/No) _____

_____ items checked, for _____ agencies?

5. BUDGET MANAGEMENT

Are expenditures in line with the monthly expenditure projection? (Yes/No) _____

Cumulative line item transfers are 10 percent or less of the total grant? (Yes/No) _____

Is a contractual budget amendment required? (Yes/No) _____

6. INTERNAL CONTROLS

Are disbursement personnel covered by:

☐ agency bond,

☐ risk pool,

☐ personnel bond of \$ _____

Are duties and responsibilities separated so that no one employee has sole control over cash receipts, disbursement and reconciliation of accounts? (Yes/No) _____

Are VOUCHERS approved for payment? (Yes/No) _____

By whom? _____

Voucher approval person(s) are knowledgeable of authorized cost, expenditure period? (Yes/No) _____

Every individual receiving compensation with federal or match fund prepares timesheets or other approved forms of time and attendance records? (Yes/No) _____

Non-Profit and separate drawing accounts:

Yes No

- ☐ ☐ Use only pre-numbered checks
☐ ☐ Checks require more than one signature
☐ ☐ Bank accounts reconciled promptly upon receipt of bank statements

Reconciliation include:

- ☐ ☐ Comparison of canceled check with cash disbursements
☐ ☐ Accounting of numerical sequencing of checks
☐ ☐ Examination of spoiled and voided checks

Who authorizes rates of pay? _____
Who authorizes subsequent changes in rates of pay? _____
Do personnel records show rates of pay? _____
Who prepares payroll? _____
Who prepares the checks? _____
Who signs the checks? _____

7. INDIRECT COSTS

Are indirect costs charged to the project? (Yes/No) _____
What is the federal agency authorizing the Indirect Rate? _____
Authorizing documentation observed? (Yes/No) _____
What is the rate based upon? _____
What services are included in the indirect charge? _____

8. PROGRAM INCOME

Does the project generate program income (forfeitures, fees, etc)? (Yes/No) _____
What percentage of the program income remains dedicated to the project? _____
Is the percentage remaining with the project at least equal to the percentage of grant funds (grant \$ ÷ [grant \$ + match \$])? (Yes/No) _____
Subject to the same accounting controls as grant and match funds? (Yes/No) _____
Is any program income generated by providing services/equipment for a fee? (Yes/No) _____

5. INTERVIEWERS(S) OPINION

Based on the answers to the proceeding questions and general observations, does the contractor have reasonable procedures and controls for the administration and accounting of project funds (Yes/No) _____

Summarize any issues that may require follow-up or corrective action:

OPERATIONS

POC:
POC:

1. THE PROBLEM

Is there a shift in the problem(s) being addressed by the grant? If so, describe.

2. ADDRESSING THE MISSION, GOALS AND OBJECTIVES

Does the strategy address the problem (or part of it)?

Do the goals and objectives collectively form/support an outcome based workplan?

3. IMPLEMENTATION PLAN

How does the project pursue its objectives, select priorities, targets, etc.?

Has a change in the situation or knowledge caused a change in the announced objectives or implementation scheme?

4. IMPLEMENTATION

Is the program on track with it's workplan, objectives? Nature of problems encountered?

5. PROJECT-PROGRAM SPECIFIC CONCERNS

6. LOCAL ASSISTANCE

Does the project include local pass-thru funding?

What is the nature of the benefit, services or funding passed-thru?

Upon what is the documentation/claim for pass-thru based?

6. INNOVATIVE PRACTICES

7. PROBLEMS ENCOUNTERED/LESSONS LEARNED

6. INTERVIEWERS OPINION

Based on the answers to the preceding questions and general observations, is the contractor:

Yes No

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Implementing the strategy and actions specified in the application/contract |
| <input type="checkbox"/> | <input type="checkbox"/> | Reaching the specified objectives |

Summarize any issues that may require follow-up or corrective action:

MONITORING TOOL – NARCOTICS TASK FORCES

ADMINISTRATION

POC:

POC:

7. SUB-CONTRACTS AND INTERLOCAL AGREEMENTS

Are there sub-contractors/other formal participants? (Yes/No) _____

Are there written policies and procedures in place passing federal compliance requirements on to any/all sub-contractors (performance agents/participants, not suppliers, etc.)? (Yes/No) _____

Are sub-contractors/participants held to the same level of compliance as the contractor? (Yes/No) _____

Are there sub-contractors/other formal participants (Yes/No) _____

3. PROPERTY MANAGEMENT

Procurement –

Was accountable property (over \$1000, sensitive or highly pilferable) purchased in the last 5 years with grant or match funds? (Yes/No) _____

Does the project have written procurement procedures? (Yes/No) _____

How and by whom are purchases made? (Yes/No) _____

Are the individuals making purchases aware of the procurement procedures? (Yes/No) _____

Are there controls on high dollar and sole source purchases? (Yes/No) _____

Usage –

Is the custody, use and value of the property dedicated to the project? (Yes/No) _____

Have any losses, damage, or theft of property been investigated? (Yes/No) _____

Project equipment is not used to provide services for a fee, competing unfairly with private companies? (Yes/No) _____

Disposition –

Has any grant related property been disposed of in the last 12 months? (Yes/No) _____

Disposition method(s):

Were the proceeds or credit received (if any) returned to the project? (Yes/No) _____

Inventory –

Conducted within the last 13 months (1 year +/-) _____, dated _____.

Records maintained on property bought with grant or match funds include:

Yes No

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Description of the property |
| <input type="checkbox"/> | <input type="checkbox"/> | Serial or ID# |
| <input type="checkbox"/> | <input type="checkbox"/> | Supplier of the property |
| <input type="checkbox"/> | <input type="checkbox"/> | Title holder's name |
| <input type="checkbox"/> | <input type="checkbox"/> | Acquisition date |
| <input type="checkbox"/> | <input type="checkbox"/> | Cost of the property |
| <input type="checkbox"/> | <input type="checkbox"/> | Percentage of federal funds used in the purchase |
| <input type="checkbox"/> | <input type="checkbox"/> | Location and use of the property |
| <input type="checkbox"/> | <input type="checkbox"/> | Condition of the property |
| <input type="checkbox"/> | <input type="checkbox"/> | Ultimate disposition data, with disposition method, date, and revenue generated |

4. REPORTS

Were Activity Reports submitted as periodically required? (Yes/No) _____

Did the reports respond the required information? (Yes/No) _____

Spot checked the following report items:

Public reports and publications provided CTED: (Yes/No) _____

Include a clause crediting federal funding: (Yes/No) _____

5. FEDERALLY MANDATED ACTIVITIES

Time and Attendance Records -

Are time and attendance records completed by and maintained for all individuals funded by grant or match funds? (Yes/No) _____

Equal Opportunity -

Does the agency have an Equal Opportunity program in place? (Yes/No) _____

Who administers your Equal Opportunity Program?

Has the program been certified, if so by whom? (Yes/No) _____

Has your agency, or sub-contractors in relation to the project, had any formal findings or rulings against it or its key officers regarding Equal Opportunity? (Yes/No) _____

CTED was promptly notified of any finding of discrimination? (Yes/No) _____

Corrective action, as negotiated or directed, has been implemented? (Yes/No) _____

Drug-Free Workplace –

Does the agency have a Drug-Free Workplace policy in place? (Yes/No) _____

Who administers your Drug-Free Workplace Program?

Provisions includes: ☐ Counseling ☐ Rehabilitation ☐ Employee Assistance

Violations result in: ☐ Termination ☐ Penalties ☐ Rehabilitation

Has any employee of the contractor, or sub-contractor related to the project been convicted of a criminal drug offense on the job or premises? (Yes/No) _____

CTED was notified promptly (within 5 days, BJA with 10 of the conviction)? (Yes/No) _____

Appropriate personnel action taken within 30 days? (Yes/No) _____

Conflict of Interest -

Has any allegation or finding of Conflict of Interest against any Employee or official of the contractor or a sub-contractor been made in relation to the grant? (Yes/No) _____

Describe the allegation of finding: _____

6. PROJECT AND SUPPORTING REFERENCES

The following documents are reasonably available:

Grant Contract or Agreement

Yes No N/A

- | | | | |
|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Interlocal Agreement of Sub-Contract |
| <input type="checkbox"/> | <input type="checkbox"/> | | Policy & Procedures Manual published by CTED |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | OMB Circular A-73 (Revised) Audit of Federal Operations and Programs |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | OMB Circular A-87, Cost Principles for State and Local Governments |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | OMB Circular A-122, Cost Principles for Non-Profit Organizations |
| <input type="checkbox"/> | <input type="checkbox"/> | | Common Rule, Uniform Administrative Requirements for Grant and Cooperative Agreements to State and Local Governments, 28 CFR Part 66 (Grant Common Rule for State and Local Government) |
| <input type="checkbox"/> | <input type="checkbox"/> | | Common Rule, Government-Wide Debarment and Suspension (Non-Procurement) and Government-Wide Requirement for Drug-Free Workplace, 28 CFR Part 67 |
| <input type="checkbox"/> | <input type="checkbox"/> | | Common Rule, Government-Wide Guidance for New Restrictions on Lobbying |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 28 CFR Part 23 - Criminal Intelligence System Operating Policies |

7. ADMINISTRATIVE ISSUES

Issues that have arisen or remain: _____

8. TECHNICAL ASSISTANCE (by CTED)

Assistance that CTED can provide: _____

9. INTERVIEWER(S) OPINION

Based on the answers to the proceeding questions and observations, does the contractor appear to have functional & appropriate administrative processes?

(Yes/No) _____

Summarize any issues that may require follow-up or corrective action:

Monitoring Visit of: _____

Date: _____

FISCAL SYSTEMS

POC:

POC:

1. AUDITS

Date of latest available audit: From: _____ To: _____ Dated: _____

Audit was completed by a ☐ State Auditor or ☐ Independent CPA.

Did the audit contain?

Yes No

☐ ☐ Recommendations

☐ ☐ Findings relevant to the project

Were any discrepancies found resolved? _____

The audit was:

☐ a fiscal audit only

☐ included program compliance & performance

The audit was conducted IAW:

☐ A-133 (Gov'mntl)

☐ A-128 (Nonprofit)

☐ Neither

2. ACCOUNTING SYSTEMS

Have there been significant changes to the accounting system or fiscal control?

(Yes/No) _____

Is there a written operating manual for the accounting system?

(Yes/No) _____

Is the financial accounting system based on: (WAC 275-56)

☐ Accrual (Deduct upon obligation-Add upon receipt)

☐ Cash Accounting (Deduct upon expenditure-Add upon deposit)

☐ Modified Accrual (Deduct upon obligation-Add upon deposit)

Is the system automated?

(Yes/No) _____

Is an up-to-date chart of accounts maintained?

(Yes/No) _____

The grant is identifiable?

(Yes/No) _____

Are contract funds accounted for by revenues, donations, expenditures, indirect and direct costs?

(Yes/No) _____

Are grant/match funds separated from other project funds?

(Yes/No) _____

The system adequately identify receipts and expenditures by:

Yes No

☐ ☐ Source

☐ ☐ Budget category

Are entries posted from original documents?

(Yes/No) _____

who keeps original receipts? _____

professional status/certification? _____

Entries are posted within _____ days of the activity.

Payment made within _____ days of the activity (cash accounting method).

Transaction and reporting cut-offs are _____.

Fiscal records are maintained for _____ from _____.

Funding does not supplant funds which would otherwise be available for the project?

_____ (question for the initial grant period only).

3. CASH FUNDS

There ☐ are ☐ are not grant or match funds used for cash procurement of services, etc.

Subordinate ledger/controls are established.

(Yes/No) _____

Only one individuals has direct access these funds without accessing sealed keys/combination and recording such access in writing?

(Yes/No) _____

Issuance of funds is by receipt only?

(Yes/No) _____

Expenditure is supported by receipt or 2nd party observation/ acknowledgment.

(Yes/No) _____

The dollar amount of funds issued for 'use upon demand' is established by policy.

(Yes/No) _____

Periodic verification and reissuance of funds to individuals is conducted every _____ (interval), and

includes reconciliation of cash on hand & receipts?

(Yes/No) _____

External reconciliation of the cash funds is conducted _____ (interval) by a disinterested individual knowledgeable of the controls placed

upon cash funds?

(Yes/No) _____

4. INVOICES AND SUPPORTING DOCUMENTATION

Are invoices submitted on a monthly basis?

(Yes/No) _____

Average submittal period following the end of the month is _____ (based on last 10 vouchers).

Are invoices complete, correct and signed? (Yes/No) _____

Are expenditures authorized by category? (Yes/No) _____

Review VOUCHERS (standard is 2 over the last 12 months):

1 - Voucher Nbr _____, For \$ _____

Categories Checked: _____

2 - Voucher Nbr _____, For \$ _____

Categories Checked: _____

3 - Voucher Nbr _____, For \$ _____

Categories Checked: _____

4 - Voucher Nbr _____, For \$ _____

Categories Checked: _____

Expenditure records support the reimbursements claimed? (Yes/No) _____

Timesheets and salary schedules support the reimbursements claimed? (Yes/No) _____

Timesheets and salary schedule checked for _____ individuals, _____ agencies.

Expenditure records support the match claimed? (Yes/No) _____

_____ items checked, for _____ agencies?

5. BUDGET MANAGEMENT

Are expenditures in line with the monthly expenditure projection? (Yes/No) _____

Cumulative line item transfers are 10 percent or less of the total grant? (Yes/No) _____

Is a contractual budget amendment required? (Yes/No) _____

6. INTERNAL CONTROLS

Are disbursement personnel covered by:

☐ agency bond,

☐ risk pool,

☐ personnel bond of \$ _____

Are duties and responsibilities separated so that no one employee has sole control over cash receipts, disbursement and reconciliation of accounts? (Yes/No) _____

Are VOUCHERS approved for payment? (Yes/No) _____

By whom? _____

Voucher approval person(s) are knowledgeable of authorized cost, expenditure period? (Yes/No) _____

Every individual receiving compensation with federal or match fund prepares timesheets or other approved forms of time and attendance records? (Yes/No) _____

Non-Profit and separate drawing accounts:

Yes No

- ☐ ☐ Use only pre-numbered checks
☐ ☐ Checks require more than one signature
☐ ☐ Bank accounts reconciled promptly upon receipt of bank statements

Reconciliation include:

- ☐ ☐ Comparison of canceled check with cash disbursements
☐ ☐ Accounting of numerical sequencing of checks
☐ ☐ Examination of spoiled and voided checks

Who authorizes rates of pay? _____
 Who authorizes subsequent changes in rates of pay? _____
 Do personnel records show rates of pay? _____
 Who prepares payroll? _____
 Who prepares the checks? _____
 Who signs the checks? _____

7. INDIRECT COSTS

Are indirect costs charged to the project? (Yes/No) _____
 What is the federal agency authorizing the Indirect Rate? _____
 Authorizing documentation observed? (Yes/No) _____
 What is the rate based upon? _____
 What services are included in the indirect charge? _____

8. PROGRAM INCOME

Does the project generate program income (forfeitures, fees, etc)? (Yes/No) _____
 What percentage of the program income remains dedicated to the project? _____
 Is the percentage remaining with the project at least equal to the percentage of grant funds (grant \$ ÷ [grant \$ + match \$])? (Yes/No) _____
 Subject to the same accounting controls as grant and match funds? (Yes/No) _____
 Is any program income generated by providing services/equipment for a fee? (Yes/No) _____

8. INTERVIEWERS(S) OPINION

Based on the answers to the proceeding questions and general observations, does the contractor have reasonable procedures and controls for the administration and accounting of project funds (Yes/No) _____

Summarize any issues that may require follow-up or corrective action:

Monitoring Visit of: _____

Date: _____

OPERATIONS

POC:

POC:

1. THE PROBLEM

What are the shifts you've seen in drug use, trafficking over the last year or two?

2. ADDRESSING THE MISSION, GOALS AND OBJECTIVES

What role if any do the operational folks, supervisor included, have in setting objectives?

Do the goals and objectives collectively form/support an outcome based workplan?

3. IMPLEMENTATION PLAN

How does the task force pursue its objectives, select priorities, targets, etc.?

Has a change in the situation or knowledge caused a change in the announced objectives or implementation scheme?

4. IMPLEMENTATION

Is the program on track with it's workplan, objectives? Nature of problems encountered?

5. LOCAL ASSISTANCE

How does the assistance you offer the local agencies actually work, scheduling, integration, disruption, etc.? If training, describe the program, no. of officers at a time, frequency, etc.?

6. INVESTIGATION PERSONNEL STRENGTH

Impact of personnel rotation, agency withdrawals, limited overtime, etc.?

How does the task force address, mitigate the shortage of personnel?

Monitoring Visit of: _____

Date: _____

7. PROSECUTION SUPPORT

Type of services offered and operational impact?

- | | |
|--|---|
| <input type="checkbox"/> investigative participation | <input type="checkbox"/> dedicated 100% |
| <input type="checkbox"/> early problem spotting | <input type="checkbox"/> first call |
| <input type="checkbox"/> body wires | |
| <input type="checkbox"/> informant negotiations | Location _____ |
| <input type="checkbox"/> warrants | |
| <input type="checkbox"/> prosecution | |
| <input type="checkbox"/> disposition feedback | |
| <input type="checkbox"/> case feedback | |
| <input type="checkbox"/> forfeiture support | |

8. ADMINISTRATIVE SUPPORT

Roles, limitations, impact, solutions, innovations?

9. EVALUATION

How do you assess your task force's operation? (Question/Criteria)

Who does the reporting? _____

Who reviews the reports? _____

Current Status

9. INNOVATIVE PRACTICES

10. PROBLEMS ENCOUNTERED/LESSONS LEARNED

11. CONFIDENTIAL FUNDS

Who signed for the cash fund? _____

Who has access to the cash fund beyond the individual who signed for it? _____

Type of access? _____

Issued as: ☐ Expenses (walk-around funds) Standard amount: _____

☐ Individual buy/investigation

2nd or 3rd party review of cash funds and receipts? _____ Frequency? _____

How much is allowed to walk? _____

Summary report made to whom? _____

Unexpended funds are logged in and included in the summary report? _____

Accounting for funds recovered during arrests (how are the funds recorded and treated)?

Is a periodic cross-review of the confidential fund log, the referenced case files, informant files and evidence records made, if so how frequently? _____

Monitoring Visit of: _____

Date: _____

12. INTERVIEWERS OPINION

Based on the answers to the preceding questions and general observations, is the contractor:

Yes No

☐ ☐ Implementing the strategy and actions specified in the application/contract

☐ ☐ Reaching the specified objectives

Summarize any issues that may require follow-up or corrective action:

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TASK FORCE PEER REVIEW QUESTIONNAIRE

Task Force:
Your Name:
Your Position:

Please answer the following questions regarding your multi-jurisdictional narcotics task force. Provided examples, if appropriate. If you do not know the answer to a particular question, insert “UNK”. If you believe the question does not apply to your task force, insert “DNA”.

- 1. Is there a current interagency agreement, signed by all participants?**
- 2. Do all participants adhere to the provisions of the agreement?**
- 3. Is the agreement consistent with those of other Byrne task forces?**
- 4. Is there a strong statement of commitment to working together cooperatively, setting aside turf issues?**
- 5. Is there a strong commitment to supporting the state and Federal strategies?**
- 6. How often does the Executive Board meet?**
- 7. How does the board communicate leadership, direction, and support to the task force?**
- 8. How do the board coordinate with external officials and other agencies?**
- 9. Is the prosecutor a voting member of the Executive Board?**
- 10. Is the prosecutor full-time and co-located or readily available?**
- 11. Does the prosecutor participate in the case development process on a regular basis?**
- 12. How does the prosecutor improve the task force ability to process cases and evidence?**
- 13. What are the performance standards for the prosecutor?**
- 14. How cooperatively does the criminal justice system work with the task force?**

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15. To what databases does the task force have direct and immediate access?
16. Does the task force maintain its own records system? Intelligence system?
17. Does the task force comply with 28 CFR, Part 23?
18. How are cases and / or critical events deconflicted?
19. Does the task force make use of available technical resources?
20. Is a formal threat assessment developed periodically?
21. Do policy makers review it?
22. Are investigative priorities established based upon the threat assessment?
23. Is it shared with stakeholders?
24. Does case planning incorporate use of appropriate investigative techniques and tactics?
25. Does the task force function as a team?
26. Are investigations coordinated with other agencies and task forces as appropriate?
27. Is there regular communication between task force personnel and participating agencies?
28. Does the task force meet with other units within participating agencies?
29. What is the level of support by other units within participating agencies?
30. Are there regular task force meetings?
31. Are cases being referred from / to other agencies or task forces?
32. Are there regular meetings with neighboring task forces, Federal, or state and local agencies operating within the task force area?
33. Are cases being deconflicted early on in their development with HIDTA or WSIN?

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34. Is the task force conducting cooperative investigations with others when appropriate?
35. Has the task force institutionalized itself within the community by leveraging Byrne resources?
36. Does the task force strive to adhere to Federal funding contract requirements?
37. How has the task force demonstrated a commitment to training and advanced technology?
38. Has the task force established specific things to be accomplished that address the drug threat assessment?
39. Are goals measurable, observable, and realistic?
40. Has the task force attained previously stated goals and objectives? If not, why?
41. Does the task force adequately document its efforts and submit timely and accurate reports in compliance with grant contracts?
42. Do the executive board and task force manager have in place processes whereby efforts are continually monitored and evaluated to ensure goals, targets, procedures, etc., are revised as needed?
43. Is there a standardized process in place to ensure the selection of qualified personnel for assignment to multi-jurisdictional task forces?
44. Do participating agencies recognize and adjust to changing personnel needs, ensuring an adequate number of seasoned personnel?
45. Are staffing, conduct, and performance issues regularly and freely discussed by the executive board?
46. Is asset seizure used effectively as a tool to dismantle or disrupt drug trafficking organizations?
47. Does the task force use financial investigative resources or technical support when appropriate?
48. Are best practices utilized in the handling, storage, and disposal of seized property?
49. Are defendants afforded an impartial appeal process?

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- 50. Does the executive board ensure that forfeitures are used to enhance the financial viability of the task force?
- 51. Is there executive commitment to making task force training a priority as reflected in budgeting, policy, or other directives?
- 52. How often does the task force train as a unit?
- 53. Do task force personnel provide training to others when appropriate?

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**Office of Justice Programs
Bureau of Justice Assistance
PROGRESS REPORT
PART A – GENERAL PROJECT INFORMATION**

The State Administrative Agency will submit this report to the Bureau of Justice Assistance at the end of each grant year or the termination of a subgrant project, whichever occurs first. It may be optionally submitted on a quarterly basis. The report's purpose is to collect performance information on subgrant recipients and projects. This data is used for program activity reports to the Administration, the Congress, and the States.

- Note:** 1) The appropriate Part B form for this project's legislative purpose area must be attached to this Part A.
2) Unless specifically requested, project activities such as arrests and convictions should only include those occurring during the current reporting period (which may be either a quarterly or an annual report).
3) Except for the multiple-choice questions, blank entries will be interpreted as zeros. Enter an "M" for missing or unknown Data.

For additional help in completing this form, check the attached instructions. For further assistance, call your State Administrative Agency or the BJA State and Local Assistance Division.

1. Project Grant Number _____

2. Federal Fiscal Year of Funds _____

3. Project Title

4. Current Report Period: Starting Month Year (enter one): Jan. Apr. July Oct. ____/____
Ending Month Year (enter one): Jan. Apr. July Oct. ____/____

5. Subgrantee/Recipient contract Information and Report Completion Date

Agency Name: _____

Address line 1: _____

Address line 2: _____

City/State/Zip: _____, WA _____

Project Phone including area code: _____

Contact Person: _____

Report completion Date: _____

6a. What is the target area of the project? (check only one)

- ☐ Statewide
☐ Regional/multi-jurisdictional
☐ County
☐ Municipality

6b. Please list the specific counties served by this project.
(If more space is needed, attach a separate sheet.)

7a. Was training a specific budget item for this project? Y/N

7b. If "Yes" to 7a, was the training provided by:

- ☐ Peer assistance/experienced practitioners
☐ Outside professional instructor/consultant
☐ Project staff
☐ State training staff
☐ Other (specify) _____

What type of evaluation/assessments funding source?
(check all that apply)

- ☐ Administrative oversight/progress reports
☐ Project staff-produced report
☐ Outside agency

What is the evaluation/assessments funding source?
(check all that apply)

- ☐ Project ☐ Non-project

9a. Do you anticipate a continuation of this project? Y/N

9b. If "Yes" to 9a, what sources are you requesting funds for future support? (check all that apply)

- ☐ BJA Federal grant ☐ State general fund ☐ Local government general fund ☐ Asset Forfeitures
☐ Other Federal funding ☐ Private funding ☐ Other (specify) _____

**Office of Justice Programs
Bureau of Justice Assistance
PROGRESS REPORT
STANDARD PART B – PERFORMANCE INDICATORS AND ASSESSMENT**

State Code WA Project Grant #: _____ Fed. Fiscal Year: _____ Reporting Start Date: (month/year) ____/____/____

1. Program Description:

2. Program Goals and Specific Objectives:

3. Program Activities:

4. Outcome/Impact Indicators:

5. Problems Encountered:

**JUSTICE ASSISTANCE GRANT SFY-2007
DRUG INTERDICTION – SEMI-ANNUAL PERFORMANCE MEASURE REPORT**

TASK FORCE / PROJECT NAME:

Reporting No.:	1	2	3
Reporting Period:	Jan-Jun '06	Jan-Dec '06	Jan-Jun '07
Due Date:	July 15 '06	Jan 15 '07	July 15 '07

Arrests / Indictments / Prosecutions

1	Felony Drug Arrests			
2	Other Felony Arrests.			
3	Non-Felony Drug Arrests.			
4	Other Non-Felony Arrests.			
5	Fugitives Apprehended.			
6	% of Arrests Prosecuted.			
7	% of All Prosecutions resulting Guilty Plea or Conviction			
8	Federal Indictments			
9	Federal Prosecutions.			

Drug Seizures

10	Cocaine HCl (Grams).			
11	Crack Cocaine HCl (Grams).			
12	Diverted Pharmaceuticals (Dosage Units)			
13	Hallucinogens (Grams).			
14	Heroin (Grams).			
15	Marijuana, Bulk (Grams)			
16	Marijuana, Plants seized from federal land			
17	Marijuana, Plants seized from non-federal land.			
18	Marijuana, Plants seized from indoor grows.			
19	Methamphetamine (Grams)			
20	Ice (Grams).			
21	Ephedrine (Grams).			
22	Pseudoephedrine (Grams).			
23	MDMA (Dosage Units).			
24	Other Club Drugs – Not MDMA (Dosage Units).			

Asset Seizures

25	Seizure Actions			
26	Forfeiture Dispositions (Contested and Un-contested)			
27	Successful Dispositions.			
28	Currency Seized (Dollar Amount)			
29	Real Property (Total Number)			
30	Real Property (Dollar Amount).			
31	Motor Vehicles (Total Number)			
32	Motor Vehicles (Dollar Amount).			
33	Planes (Total Number).			
34	Planes (Dollar Amount)			
35	Boats (Total Number).			
36	Boats (Dollar Amount)			
37	Other Conveyance (Dollar Value)			
38	Handguns (Total Number)			
39	Rifles (Total Number).			
40	Shotguns (Total Number).			
41	Other property (Dollar Value).			

Continued on Reverse

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JUSTICE ASSISTANCE GRANT SFY-2007
DRUG INTERDICTION – SEMI-ANNUAL PERFORMANCE MEASURE REPORT

Investigative Activity

42	Investigations Initiated			
43	Investigations Closed			
44	Investigations Open (As of end of quarter).			
45	OCDETF Cases Worked.			
46	Title III Initiations.			
47	Pen Registers / DNRs.			
48	Pager Intercepts			
49	Investigations referred to other HIDTAs (Oregon, LA, etc.).			
50	Investigations referred to other NWHIDTA Task Forces.			
51	Investigations referred to other non-HIDTA LEAs.			
52	Investigative leads provided to other HIDTAs.			
53	Investigative leads received from other HIDTAs.			
54	Investigative leads referred to other NWHIDTA Task Forces			
55	Investigative leads provided to other non-HIDTA LEAs			
56	Joint cases worked with other HIDTAs.			
57	Joint cases worked with other non-HIDTA LEAs			

Drug Trafficking Organizations (DTOs)

58	DTOs Reported to HIDTA.			
59	DTOs Investigated			
60	DTOs Disrupted/Dismantled.			
61	Total number of cases: 1 arrest			
62	Total number of cases: 2 to 4 arrests.			
63	Total number of cases: 5 or more.			

Clandestine Laboratories

64	Meth Investigations.			
65	Clan Labs Investigated.			
66	Clan Labs Dismantled			
67	Clan Lab Dumpsites Processed.			
68	Suspicious precursor/essential chemical sellers ID'd.			
69	Suspicious precursor/essential chemical buyers ID'd.			
70	Meth related arrests (felony & misdemeanor).			
71	Meth related search warrants.			
72	Meth labs involving minors present or exposed.			

Intelligence Connectivity

73	WSIN Subject Cards Submitted			
74	WSIN Clan Lab Cards Submitted.			
75	Other WSIN Submissions.			

Training and Conferences

76	Training Programs Presented.			
77	Individuals Trained			
78	Community Meetings Attended.			
79	Training Conferences Attended			

Please email to dand@cted.wa.gov by the due date.

For assistance contact Dan Davis at:

Office: (360) 725-3030

Fax: (360) 586-4506

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SDFC - CJ Section - Risk Assessment

Organization	
Program/Project	
Rater(s)	
Date	

How many months since the last on-site visit?	Months	Points	Score
	<=12	-0-	
	12-24	5	
	25+	10	

Audit or recent monitoring findings/concerns?	N/A	Points	Score
	N/A	-0-	
	Minor	5	
	Discrepancy	10	
	Significant	15	
	Finding	15	
	Unknown	15	

Reporting history?	Points	Score
Is monthly/quarterly data submitted in a timely fashion?	If Yes to all	-0-
Is data complete, accurate, filled out correctly?	If No to 1	5
Is data internally consistent (e.g. sum of inputs = outputs)?	If No to 2+	10

Voucher history?	Points	Score
Timely, per program/contract requirements?	If Yes to all	-0-
Consistently correct math, entries add?	If No to 1	5
Use of current vouchers only?	If No to 2+	10

What kind of organization is this?	Risk	Points	Score
State agency	Coordinated Infrastructure	Low	-0-
	Multiple independent divisions	High	10
Unit of local government - General Purpose	Multi-departmental functions	High	10
	Law Enforcement	Low	-0-
	Prosecution	High	10
	Court	Medium	5
	Community services	Medium	5
	Other Division: _____	High	10
Unit of local government - Special Purpose - Limited Authority	Type: _____	High	10
Non-Profit Service Organization	State / National infrastructure	Low	-0-
	Established multi-function	Medium	5
	w/ Gov't as fiduciary agent	Low	-0-
	Local / limited function	High	10
Non-Profit Association	Quasi-Governmental	Low	-0-
	Established multi-function	Medium	5
	w/ Gov't as fiduciary agent	Low	-0-
	Local / limited function	High	10
Commercial Organization		High	10

Awards, Funding Levels	Total award(s)	Points	Score
	<\$100K	-0-	
	\$100K - \$200K	5	
	> \$200K	10	
	Awarded funds for 2+ programs?	If Yes	15

Page Total

				Points	Score
How long has the organization contracted with the SDFC, or with a unit/program with closely related controls?	5+ Yrs	-0-			
	2-5 Yrs	5			
	< 2 Yrs	10			
Has the contractor been responsive to unit correspondence and requests for information?	Yes	-0-			
	No	10			
Does the agency sub-contract it's service delivery? (Including multi-agency opns)	No	-0-			
	Yes	5			
Support, technical and program staff	Staffing meets program stds	Yes to either	-0-		
	Admin:Staff ratio beyond stds	No to either	10		
Participation	By all key agencies/groups	Meets Std	-0-		
		A concern	5		
		Below Std	10		
Has the organization had:	New functions/duties added?	No to all	-0-		
	Recent major restructuring?	Yes to 1	5		
	Recent rapid pers'l growth/cuts?	Yes to 2+	10		
	Excessive key staff turnover? (2+/yr)	10			
Is the organization accredited	By: <input type="text"/>	N/A	-0-		
		No	5		
		Yes	-0-		
Experienced problems w/accreditation?	No	-0-			
	Yes	5			
Difficulties:	N/A	-0-			
	Has application/contract amendment or negotiation been necessary?	If, Yes	10		
	Is there a history of contract/performance difficulty?	If, Yes	10		
	Is there a current concern or issue?	If, Yes	10		
Participates in Program Training/Conferences?	Yes - N/A	-0-			
	Some	5			
	No	10			
Performance	Reported performance measures 10% below expected level	N/A	-0-		
		1 PM	5		
		2 PM	10		
		3+ PM	15		
Subjective & Special Concerns, Not addressed elsewhere	None	-0-			
	Question	5			
	Concern	10			
	Issue	15			
	Question	5			
	Concern	10			
	Issue	15			
Low - No visit indicated		< 50	Column/Page Total		
Med - Visit as able		50 - 100	1st Page Total		
High - Visit this Year		> 100	Total Score		
					Hi - Med - Lo

Blanks at: S:\SDFC\Programs\Monitoring - Risk Assessment\Blank Risk Assessment.xls

Save filled out assessments at: S:\SDFC\Programs\Monitoring - Risk Assessment\Risk Assessments_____ .xls

SUB-RECIPIENT ONFORMATION

Enter all sub-recipients’ identification, award, and project information.

If the state agency coordinating the program retains direct expenditure authority of any of the managed awards. It should enter itself as a sub-recipient for that portion it retains, and use the primary CTED contract number as the Award#.

This information is required to complete Bureau of Justice Assistance’s ‘Project Information” and “Funded Projects” reports.

Award#/ Grantee Name	Project	Award Amount	Short Description (if not self-explanatory)	Point of Contact	Street Address	Street Address ²	City	County(s) (if all, enter “All”)	State	Zip (Plus 4)	Telephone #	Intervention Model or Program Variant

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Project Name:

[illegible]

C – Coordinator or Commander
S – Supervisor
I – Investigator
P – Prosecutor

A – Administrative Support
L – Prosecutor Support
N – Analyst
O – Other

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Appendix K-10

